

## Securities Account Opening Application (For Individual)

### 證券賬戶開立申請表 (適用於個人客戶)

<b>Customer Number</b> 客戶號碼	
<b>Securities Account Number</b> 證券賬戶號碼	
<b>Settlement Account Number 1</b> 結算賬戶號碼 1	
<b>Settlement Account Number 2</b> 結算賬戶號碼 2	

### Part 1 General Information

#### 第一部份 一般資料

<b>Customer Information 客戶資料</b>			
Account Name in English 賬戶英文名稱			
Account Name in Chinese 賬戶中文名稱			
Correspondence address 通訊地址	<input type="checkbox"/> Same as the Settlement Account 等同結算賬戶 House No. 室 Building Level 樓層 Premise Name 座/大廈名稱 Street No. 街道號碼 Street Name 街道名稱 Estate 屋村 / Court 屋苑 / Suburb 地區 City 城市 State 省/縣/市 Country 國家 Postal Code 郵政編號		
<b>Personal Information 個人資料</b>			
	Account Holder 1 第一申請人	Account Holder 2 聯名申請人	
	<input type="checkbox"/> Mr.先生 <input type="checkbox"/> Miss小姐 <input type="checkbox"/> Mrs. 太太	<input type="checkbox"/> Mr.先生 <input type="checkbox"/> Miss小姐 <input type="checkbox"/> Mrs. 太太	
Name in English 英文姓名			
Name in Chinese 中文姓名			
ID Doc No. / Passport No. 身份證明文件號碼 / 護照號碼			
* Telephone No. * 電話號碼	Country Code 國家編號 Area Code 區號 Local Code 電話號碼	Country Code 國家編號 Area Code 區號 Local Code 電話號碼	

\* Optional 可選擇填寫

## Part 2 Account Services 第二部份 戶口服務

### SMS Alert Service 手機短訊提示服務

Please send the SMS to my Mobile Phone No.:

(852) or ( ) (Country Code + Area Code) \_\_\_\_\_ (Local Code) (Mandatory)

請將手機短訊發送到本人的手提電話號碼：

(852) or ( ) (國家編號 + 區號) \_\_\_\_\_ (電話號碼) (必須填寫)

#### Notes 注意:

1. A SMS alert will be sent to the specified number to notify the status of the trading order.  
每當進行買賣交易後，本行會發出一個短訊到已登記之流動電話號碼，提示有關交易之狀況。
2. There may be service charges levied by your service provider (if applicable). Fubon will not be liable to any charges requested by the service provider of the mobile number specified above or any other related parties.  
閣下之流動電話供應商可能會收取費用(如適用)。本行將不會承擔任何由上述之流動電話服務供應商或其他有關機構所收取的費用。
3. Delivery of the Transaction Status SMS may be subject to delayed transmission due to the network traffic of the mobile number specified above or any other related parties or other causes. Fubon will not be liable for any interruption, delays or availability due to any failure of the telecommunication network.  
交易狀況短訊傳送及接收可能會因為上述之流動電話號碼或其他有關機構之網絡交通繁忙或其他原因有所延誤。本行不會承擔因電訊網絡故障而構成之任何服務中斷、延誤或未能提供服務所引致的損失。

### Internet Stock Trading Service 網上證券交易服務

- Please provide me/us with the Internet Stock Trading Service.  
請向本人/我們提供網上證券交易服務。
- I/We confirm that I/we **do not need** the Internet Stock Trading Service, please do not issue the related Password to me/us.  
本人/我們確認本人/我們**不需要**網上證券交易服務，請不要發給相關的密碼給本人/我們。

#### Notes 注意:

To use the above Services, the Signing Instruction of a joint account must be "either one to sign" and only one set of Password will be issued.  
如為聯名戶口，簽署指示必須為“單式簽署”方可使用以上服務而此帳戶只會被發配一組密碼。

#### Password Delivery 交付密碼

- Send the Password by ordinary mail to my/our correspondence address 以平郵方式將密碼寄往本人/我們通訊地址
- I/We will collect the Password at \_\_\_\_\_ Branch 本人/我們將在 \_\_\_\_\_ 分行領取密碼

### Manned Stock Trading Service Password Application 申請專人下單服務密碼

Account Holder 1 第一申請人	Please set up the Password at your choice 請自行設立密碼 <table border="1"><tr><td> </td><td> </td><td> </td><td> </td></tr></table>				
Account Holder 2 聯名申請人	Please set up the Password at your choice 請自行設立密碼 <table border="1"><tr><td> </td><td> </td><td> </td><td> </td></tr></table>				

**Note:** The Password user must be the Account Holder of the customer 注意: 密碼使用者必須為客戶的持有人

### Overdraft Facility against Securities Service 證券抵押透支信貸服務

- I/We would like to apply for the Overdraft Facility Against Securities Service for HKD \_\_\_\_\_, please arrange the application for me/us.  
本人/我們有意申請證券抵押透支信貸額港幣 \_\_\_\_\_，請為本人/我們安排辦理申請手續。
- I/We do not need to apply for the Overdraft Facility Against Securities Service at this moment.  
本人/我們暫無意申請證券抵押透支信貸服務。



## Part 3 Authorized Signatory 第三部份 授權人

### Third Party Authorization for Securities Account 證券賬戶之第三者授權申請

- (1) I/We hereby (jointly and severally (if the account is a joint account)) declare that unless and until Fubon Bank ("Fubon") receives written notice or instruction from me/us to the contrary or otherwise, the person(s) whose name(s) and identity document number(s) set out below (the "Authorized Person(s) for Securities Account") is/are authorized with immediate effect to act singly on my/our behalf in all dealings and transactions with Fubon in relation to any securities (as defined in Global Terms and Conditions for Accounts and Services) and other investment on my/our Securities Account and that Fubon is entitled to treat the Authorized Person(s) for Securities Account as fully empowered by me/us and on my/our behalf and for my/our account(s) and in my/our name(s) to place order(s) or instruction(s) using the password so given to me/us or otherwise in writing for:
- (i) the purchase or subscription for any type of security or other investment, to sell, transfer, convert and/or otherwise dispose of any such securities or other investment with the broker(s) nominated by Fubon or otherwise;  
AND for the purposes of this clause (i), the security or other investment purchased or subscribed for, sold, transferred, converted or otherwise disposed of shall be consistent with my/our Investment Risk Profile (as defined herein) recorded in the Customer Investment Risk Questionnaire (Individual Customer) ("CIRQ (Ind)") completed by \_\_\_\_\_ (name of account holder) on \_\_\_\_\_ (dd/mm/yy) and the subsequent renewal thereof. For the purpose of this Authorization, the Investment Risk Profile collectively refers to my/our financial situation, investment objective and experience, intended investment horizon, attitude towards risk and/or risk tolerance level, and investment portfolio;
  - (ii) the settlement thereof; and
  - (iii) the operation of the Securities Account (specifically excluding withdrawal of any such securities and of any such funds) at my/our own risks and costs subject at all times to all the terms and conditions contained in the Global Terms and Conditions for Accounts and Services and any other banking document(s) that I/we may have signed or sign from time to time in relation thereto and any amendment thereto.

本人/我們現(共同及個別地(如為聯名賬戶))聲明,除非及直至富邦銀行(「富邦」)收到本人/我們發出的其它書面通知或指令為止,否則下列人士(其名字及身份證明文件號碼已列於下方)(「證券賬戶授權人」)獲立即授權可單獨一人代表本人/我們處理及執行於本人/我們證券賬戶內有關任何證券(定義見《統一賬戶及服務條款》)或其他投資產品的交易事宜。富邦銀行有權視證券賬戶授權人就:

- (i) 透過富邦委托的經紀行或其他人士購買或認購任何種類的證券或其他投資產品、出售、轉讓、轉換或變賣任何該等證券或投資產品;按本條款(i)所購買或認購、出售、轉讓、轉換或變賣的證券或其他投資產品,須符合 \_\_\_\_\_ (證券賬戶持有人姓名)於 \_\_\_\_\_ (年/月/日)完成之《投資風險承擔程度評估問卷(個人客戶適用)》(「問卷」)及其後更新之問卷中所確定有關本人/我們的「投資風險程度」(定義如下)。就本授權而言,「投資風險程度」是泛指本人/我們的財政狀況、投資目的投資經驗、預期的投資收回年期、對投資風險的態度及/或可承擔的投資風險程度,及投資組合;
  - (ii) 有關的結算;及
  - (iii) 處理證券賬戶(惟特別排除提取任何該等投資產品及資金等事宜)方面已獲本人/我們授予全權,代表本人/我們以本人/我們名義以書面形式或使用已發放的密碼發放有關指令,本人/我們願意承擔一切風險後果及費用,惟一切必須依據該合約內所有條款及其它本人/我們已簽署或不時簽署的有關銀行文件及其修改部份進行。
- (2) I/We understand that investment involves risks, including but not limited to, liquidity risk and default risk. In the worst case scenario, upon insolvency of the issuer, investors may get nothing back and the potential maximum loss could be the entire invested amount and no return received. I/We also understand that specific risks are involved in different kinds of investment products, namely, (i) for bonds, it involves maturity risk. The longer the period to maturity, the higher the chance for more price fluctuations within that period would be; (ii) for equity linked product and currency linked product, they involve risk of underlying asset conversion and price risk of underlying equity/ currency. If the conversion happens upon maturity and the value of the underlying equity/ currency becomes zero, investors may lose the entire invested amount; (iii) for interest rate linked products, it involves downside risk of sold option.

In addition, equity linked product, currency linked product and interest rate linked product have callable feature, the actual investment horizon may be shorter than the stated maximum period and the actual return for investment return will depend on the investment horizon. For bonds with callable feature, if the issuer early calls a bond before its scheduled maturity date, the coupon specified for the coupon period subsequent to the early call date will not materialize and investors may only be able to enter into a similar bond at a lower interest rate than previously available.

I/We hereby acknowledge and confirm that I/we fully understood the risks associated with the product(s) concerned (as aforesaid) and will study and understand the structure of the product(s) before placement of an order.

本人/我們明白投資涉及風險,包括但不限於流動性風險及違約風險。在最壞情況下,倘若債券發行人被清盤,投資者將不能收回任何本金或利息,因此最高潛在風險為損失可能會是全部投資金額及不能獲取任何利息。本人/我們亦明白不同類型的投資產品會涉及其特殊的風險,即如(i)債券涉及到期日風險。到期期限愈長,則有關期限內之價格波動愈大;(ii)股票掛鉤產品及外匯掛鉤產品涉及相關資產兌換風險和相關股票或外匯價格風險。若於到期日兌換而相關股票或外匯價格變為零,投資者可能會損失全部投資金額;(iii)利率掛鉤產品則涉及沽售期權之風險。

此外,若股票掛鉤產品、外匯掛鉤產品涉及利率掛鉤產品附有提早贖回條款,其實際投資期限或會短於訂明之最長期間,及其實際回報將視乎投資期限而定。至於附有提早贖回條款之債券,倘發行人於到期日前提前贖回債券,提前贖回日後之票息期將不會派發票息,及投資者或只能按較先前為低之息率購買類似債券。

本人/我們謹此確認,本人/我們完全明白相關產品所涉及風險(如上所述),並會在下單前研究及了解產品之結構。



- (3) I/We confirm that the Authorized Person(s) for Securities Account has/have fully understood the personal circumstances and Investment Risk Profile of me/us now and from time to time. I/We will keep the Authorized Person(s) for Securities Account informed of the latest position of my/our personal circumstances and Investment Risk Profile from time to time. In addition, if customer suitability assessment is required for the product(s) concerned, I/we authorize the Authorized Person(s) for Securities Account to complete and confirm the result of Customer Suitability Assessment Form (Individual Customer) ("CSAF(Ind)") on my/our behalf. Should there be any deviation in the result between CSAF(Ind) and CIRQ(Ind), the Authorized Person(s) for Securities Account is authorized to sign any acknowledgement of deviation as required by Fubon for and on behalf of me/us.

本人/我們確認證券賬戶授權人已完全明白本人/我們現時及不時的個人現況及投資風險程度。本人/我們將不時通知證券賬戶授權人有關本人/我們最近之個人現況及投資風險程度。此外，如有關產品需要進行客戶合適性評估，本人/我們授權證券賬戶授權人代表本人/我們完成《客戶合適性評估表格(個人客戶適用)》及確認有關該評估的答案。倘若《客戶合適性評估表格(個人客戶適用)》與《投資風險承擔程度評估問卷(個人客戶適用)》的評估結果有偏差，證券賬戶授權人獲授權代表本人/我們簽署實行就有關偏差結果所要求的任何偏差確認聲明。

- (4) I/We hereby authorize the Authorized Person(s) for Securities Account :

- (i) to collect and receive all information (including but not limited to offering documents, term sheets, risk disclosure statements and marketing materials) from Fubon in relation to the product(s) concerned for and on behalf of me/us; and  
(ii) to attend the whole selling process (conducted by Fubon's staff for explanation of the features and risk associated with the product(s) concerned on behalf of me/us).

I/We also authorize the Authorized Person(s) for Securities Account to sign any form(s) or document(s) as may be required by Fubon for and on behalf of me/us for acceptance of any kind of selling process adopted by Fubon (including simplified selling process). For acceptance of simplified selling process, I/we agree that Fubon is not required to repeat the explanation of all the product features and risks of the same product in all subsequent transactions to the Authorized Person(s) for Securities Account. I/We also agree that Fubon is only required to explain the contents and/or effect of signing the said form(s) or document(s) for acceptance of a simplified selling process to the Authorized Person(s) for Securities Account and such shall be binding on me/us.

本人/我們謹此授權證券賬戶授權人：

- (i) 代表本人/我們收取所有由富邦提供有關產品的資料(包括但不限於相關產品之銷售文件、條款書、風險披露聲明及推銷文件)；及  
(ii) 代表本人/我們進行整個產品解釋程序(包括由富邦銀行職員解釋相關產品之特徵及風險)。

本人/我們亦授權證券賬戶授權人代表本人/我們簽署任何富邦要求有關接納任何形式之銷售程序的表格或文件(包括簡化銷售程序)。至於接納簡化銷售程序，本人/我們同意富邦就本人/我們日後經富邦投資相同產品的所有交易時毋須再次重覆相關產品的所有特徵和相關風險。本人/我們亦同意富邦只須向證券賬戶授權人解釋接納簡化銷售程序所需簽署之表格或文件，而本人/我們將受其所約束。

- (5) I/We agree that if I/we or any of us have already received the relevant information of the product(s) concerned from Fubon and/or attended the whole selling process conducted by Fubon's staff (as set out in clause (4)(i) and (ii) above) prior to this Third Party Authorization for Securities Account and/or at any time thereafter placement of any order for any type of security or other investment by me/us or any of us with Fubon, Fubon is not required to provide the same information of the product(s) concerned and/or repeat the whole selling process to the Authorized Person(s) for Securities Account. I/We further undertake to fully indemnify Fubon and keep Fubon harmless, from time to time, against any and all losses, damages, costs (including legal costs on full indemnity basis), expenses, charges, actions, suits, proceedings, claims or demands whatsoever which may be brought against Fubon, or which Fubon may suffer or incur in connection with or as a result of its reliance on this agreement set out in clause (5) herein made by me/us.

本人/我們同意，倘若本人/我們或任何一位證券賬戶持有人在在此證券賬戶之第三者授權之前及/或其後任何時間就任何一位證券賬戶持有人向富邦作出有關任何種類的證券或其他投資產品的下單指示時已收取相關產品之文件及/或已進行整個產品解釋程序(如上述第4(i)及(ii)款所述)，則富邦毋須再次向證券賬戶授權人提供有關產品之相同資料及/或重覆進行整個產品解釋程序。本人/我們承諾將會不時向富邦作出彌償，並使富邦免遭因信賴本條款5由本人/我們作出之協議或與此有關，繼而令富邦遭受的任何及所有損失、損害、費用(包括所有法律費用)、支出、收費、行動、訴訟、索償或其他任何索償等損害。

- (6) I/We also authorize the Authorized Person(s) for Securities Account to execute and deliver to Fubon all such deeds, agreements, documents and other instruments and to do all such acts and things as may be required relating to the above investment and/or in connection with the Securities Account for and on behalf of me/us from time to time.

本人/我們並授權證券賬戶授權人代表本人/我們不時就上述投資事項及/或有關證券賬戶簽署及交付予富邦所需的所有契據、協議、文件及其他文書及須採取之一切行動及事宜。

- (7) I/We agree and authorize the Authorized Person(s) for Securities Account to have full access to my/our information held by Fubon and Fubon is hereby authorized to disclose such information to the Authorized Person(s) for Securities Account.

本人/我們同意及授權證券賬戶授權人取用富邦持有的有關本人/我們的資料及本人/我們授權富邦向證券賬戶持有人透露此等資料。

- (8) I/We agree to be bound by all acts done by the Authorized Person(s) for Securities Account pursuant to this Third Party Authorization for Securities Account.

本人/我們同意受約束於本人/我們之證券賬戶授權人根據此證券賬戶之第三者授權而作出的一切行為。

- (9) I/We further undertake to fully and forthwith upon demand indemnify Fubon from all losses, damages, costs, expenses, obligations and liabilities whatsoever, present or future, actual or contingent, due to Fubon by me/us or incurred by Fubon arising from or otherwise in connection with such dealing(s) or transaction(s) that the Authorized Person(s) for Securities Account may enter with Fubon from time to time on my/our behalf. I/We also declare and covenant that in the event of death of me/or any of us any acts or matters or things which before, on or after such death legally done by the Authorized Person(s) for Securities Account in respect of my /our Securities Account on my/our behalf shall be and continue to be binding upon my/our executors, administrators or personal representatives and all other persons claiming from or under me/us or being entitled thereto unless notice in writing of such death together with supporting document(s), shall have been previously given to Fubon by any party entitled to give the same.

本人/我們承諾當富邦銀行提出要求時立即彌償富邦銀行由於或有關證券賬戶授權人可能不時代表本人/我們處理及執行的交易事宜而蒙受及衍生的一切損失、賠口、費用、支出、義務及債務，不論它們屬現在或未來的、或已經或可能發生的。本人/我們亦聲明及承諾，即使本人/或我們其中一人死亡，任何證口賬戶授權人於死亡前後就本人/我們證券賬戶代表本人/我們合法進行的行為皆依然有效，並對本人/我們的遺囑執行人、遺產管理人或遺產代理人及其他可向本人/我們索償或有權利索償的人士具約束力，直至富邦收到任何有權發出通知的人士向富邦發出有關本人/我們死亡的通知書連同有關證明文件為止。



Third Party Authorized Person Information 第三者授權人士資料											
1 <sup>st</sup> Authorized Person 第一授權人士資料		2 <sup>nd</sup> Authorized Person 第二授權人士資料									
Name in English 英文姓名	<input type="checkbox"/> Mr. 先生 <input type="checkbox"/> Miss 小姐 <input type="checkbox"/> Mrs. 太太	Name in English 英文姓名	<input type="checkbox"/> Mr. 先生 <input type="checkbox"/> Miss 小姐 <input type="checkbox"/> Mrs. 太太								
Name in Chinese 中文姓名		Name in Chinese 中文姓名									
Former/Other Name (if any) 曾用名/別名(如有)		Former/Other Name (if any) 曾用名/別名(如有)									
HKID / Passport No. 身份證 / 護照號碼		HKID / Passport No. 身份證 / 護照號碼									
Date of Birth 出生日期		Date of Birth 出生日期									
Vulnerable customer 特別客戶 <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是	<input type="checkbox"/> 65 years old or above 65歲或以上 <input type="checkbox"/> Education level primary school or below 教育程度在小學或以下	Vulnerable customer 特別客戶 <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是	<input type="checkbox"/> 65 years old or above 65歲或以上 <input type="checkbox"/> Education level primary school or below 教育程度在小學或以下								
* Contact Phone No. * 聯絡電話號碼	Country Code 國家編號 Area Code 區號 Local Code 電話號碼	* Contact Phone No. * 聯絡電話號碼	Country Code 國家編號 Area Code 區號 Local Code 電話號碼								
Nationality 國籍		Nationality 國籍									
* Relationship with account holder * 與賬戶持有人之關係		* Relationship with account holder * 與賬戶持有人之關係									
Residential address 住宅地址 House No. 室 Building Level 樓層 Premise Name 座/大廈名稱 Street No. 街號 Street Name 街道名稱 Estate 屋村 / Court 屋苑 / Suburb 地區 City 城市 State 省 / 縣 / 市 Country 國家 Postal Code 郵政編碼		Residential address 住宅地址 House No. 室 Building Level 樓層 Premise Name 座/大廈名稱 Street No. 街號 Street Name 街道名稱 Estate 屋村 / Court 屋苑 / Suburb 地區 City 城市 State 省 / 縣 / 市 Country 國家 Postal Code 郵政編碼									
Permanent address 永久地址 <input type="checkbox"/> Same as residential address 等同住宅地址 House No. 室 Building Level 樓層 Premise Name 座/大廈名稱 Street No. 街號 Street Name 街道名稱 Estate 屋村 / Court 屋苑 / Suburb 地區 City 城市 State 省 / 縣 / 市 Country 國家 Postal Code 郵政編碼		Permanent address 永久地址 <input type="checkbox"/> Same as residential address 等同住宅地址 House No. 室 Building Level 樓層 Premise Name 座/大廈名稱 Street No. 街號 Street Name 街道名稱 Estate 屋村 / Court 屋苑 / Suburb 地區 City 城市 State 省 / 縣 / 市 Country 國家 Postal Code 郵政編碼									
(Applicable to stock trading only) (只適用於股票交易) Manned Stock Trading Service Password Application (if applicable). Password set up at the 1 <sup>st</sup> Authorized Person's own choice 申請專人下單服務密碼(如適用),由第一授權人士自行設立密碼 <table border="1" style="width:100%; height:20px;"><tr><td></td><td></td><td></td><td></td></tr></table> Specimen Signature of 1 <sup>st</sup> Authorized Person 第一授權人士簽署  Name 姓名 _____ Date 日期 _____						(Applicable to stock trading only) (只適用於股票交易) Manned Stock Trading Service Password Application (if applicable). Password set up at the 2 <sup>nd</sup> Authorized Person's own choice 申請專人下單服務密碼(如適用),由第二授權人士自行設立密碼 <table border="1" style="width:100%; height:20px;"><tr><td></td><td></td><td></td><td></td></tr></table> Specimen Signature of 2 <sup>nd</sup> Authorized Person 第二授權人士簽署  Name 姓名 _____ Date 日期 _____					

### Acknowledgement by Customer(s) 客戶確認:

Cross out any blank space. 將未被適用之空位刪去。

I/We acknowledge that I/we have read, fully understood and accepted the above terms and conditions of this Third Party Authorization for Securities Account and agree to be bound by them.  
本人/我們並謹此確認本人/我們已閱讀,並完全明白及接受上述有關本證券賬戶之第三者授權的條款並同意受其所約束。

Account Holder 1 Signature 第一申請人簽署

Account Holder 2 Signature 聯名申請人簽署

Name 姓名 \_\_\_\_\_

Name 姓名 \_\_\_\_\_

Date 日期 \_\_\_\_\_

Date 日期 \_\_\_\_\_

**Remarks:** This Third Party Authorization for Securities Account is applicable to both individual and joint account (with Signing Instructions of "either to sign" or "all to sign"). For joint account, if the Signing Instruction is "all to sign", all of the account holders are required to sign on this form for completion.

註: 本證券賬戶之第三者授權申請適用於個人及聯名賬戶(包括簽名指示為「其中一位」或「須所有賬戶持有人共同簽署」)。如屬聯名賬戶而簽名指示為須所有賬戶持有人共同簽署,則須所有賬戶持有人共同簽署本授權申請方為有效。

\* Optional 可選擇填寫

## Part 4 Declaration

### 第四部份 聲明

#### 4.1 Relationship with other Financial Intermediary 與其他財務中介人關係

Are you or any of you (if are joint account holders) an employee of a Licensed Corporation or Registered Institution?  
閣下或閣下中的任何一人(如屬聯名賬戶)是否屬持牌法團或註冊機構的僱員?

Yes, please specify as follows: 是, 請詳述如下:

Account Holder Name (English) 賬戶持有人英文姓名	Account Holder Name (Chinese) 賬戶持有人中文姓名	Corporation Name (English) 公司英文名	Corporation Name (Chinese) 公司中文名
1.			

\*Office Address  
\*公司地址

Building No. 室 Building Level 樓層 Premise Name 座/大廈名稱 Street No. 街號號碼 Street Name 街道名稱  
Estate 屋村 / Court 屋苑 / Suburb 地區 City 城市 State 省 / 縣 / 市 Country 國家 Postal Code 郵政編號

2.

\*Office Address  
\*公司地址

Building No. 室 Building Level 樓層 Premise Name 座/大廈名稱 Street No. 街號號碼 Street Name 街道名稱  
Estate 屋村 / Court 屋苑 / Suburb 地區 City 城市 State 省 / 縣 / 市 Country 國家 Postal Code 郵政編號

I understand that according to the requirement of the SFC Code of Conduct, I should provide a written consent issued by my Employer to Fubon prior to the opening of the Securities Account. If I could not provide the written consent within 14 days, Fubon will not proceed with the opening of the Securities Account accordingly.

本人明白根據證監會操守準則的要求, 本人必須於開立新的證券賬戶前提供一份由本人僱主發出之書面同意予富邦。如本人於十四天內不能提供該書面同意, 富邦可終止繼續為本人辦理開立該證券賬戶。

No 否

#### 4.2 Declaration of Ultimate Beneficiary 最終受益人聲明

I/We declare that I/we am/are the ultimate beneficiary owner/owners of this Securities Account.

本人/我們聲明乃本證券戶口之最終受益人。

I/We declare that the following person(s) is/are the ultimate beneficiary(ies) of this Securities Account.

本人/我們聲明以下人仕為本證券戶口之最終受益人。

Name in English 英文姓名		Name in Chinese 中文姓名	
Former/Other Name (if any) 曾用名字/別名(如有)			
ID Document No./ Passport No. 身份證 / 護照號碼	*Phone No. *電話號碼	Country Code 國家編號	Area Code 區號 Local Code 電話號碼
Date of Birth 出生日期	Nationality 國籍		
Residential address 住宅地址	House No. 室 Building Level 樓層 Premise Name 座/大廈名稱 Estate 屋村 / Court 屋苑 / Suburb 地區 City 城市	Street No. 街號號碼 Street Name 街道名稱 State 省 / 縣 / 市 Country 國家	Postal Code 郵政編號
Permanent address 永久地址 <input type="checkbox"/> Same as residential address 等同住宅地址	House No. 室 Building Level 樓層 Premise Name 座 / 大廈名稱 Estate 屋村 / Court 屋苑 / Suburb 地區 City 城市	Street No. 街號號碼 Street Name 街道名稱 State 省 / 縣 / 市 Country 國家	Postal Code 郵政編號
*Relationship with account holder *與賬戶持有人之關係	*Note: Please provide the address proof 請提供住址證明		

\* Optional 可選擇填寫



#### 4.3 Undertaking for Trading Taiwanese Stocks and Taiwanese Securities 台股及台灣有價證券買賣承諾書

- I/We, (the undersigned) hereby undertake to ensure that the source of funds for investing in the Taiwanese stocks and other Taiwanese securities via the Securities Account with Fubon is not and shall not be from Mainland China or The Republic of China, Taiwan.  
本人/我們(下述簽署者)在此承諾保證，經由於富邦開設的證券賬戶投資台灣股票及其他台灣有價證券的資金來源並非及將不會來自中國大陸或台灣。

I/We undertake to provide, in respect of each investment, documentary evidence (including a copy of remittance slip) to prove that the source of funds for investing in the Taiwanese stocks and other Taiwanese securities via the Securities Account with Fubon is not derived from Mainland China or The Republic of China, Taiwan.

本人/我們承諾就每一項之投資，將提供證明(包括匯款水單副本)予貴行以核實本人/我們經由於富邦開設的證券賬戶投資台灣股票及其他台灣有價證券的資金來源並非來自中國大陸或台灣。

I/We further undertake to fully indemnify Fubon and keep Fubon harmless, from time to time, against any and all losses, damages, costs (including legal costs on a full indemnity basis), expenses, charges, actions, suits, proceedings, claims or demands whatsoever which may be brought against Fubon, or which Fubon may suffer or incur in connection with or as a result of its reliance on this Undertaking.  
本人/我們承諾將會不時向富邦作出彌償，並使富邦免遭因信賴此承諾書所引致或與此有關，繼而令富邦遭受的任何及所有損失、損壞、費用(包括所有法律費用)、支出、收費、行動、訴訟、索償或其他任何索償等損害。

- I/We have no intention to participate in Taiwanese Stocks trading at the moment. I/We understand that I/we should provide an Undertaking for Trading Taiwanese Stocks to Fubon if I/we would intend or have interest in Taiwanese Stocks trading.  
本人/我們暫無意參與台股買賣。本人/我們明白若本人/我們日後如欲或有意參與台股買賣，本人/我們需提供一份台股買賣承諾書予富邦。

#### 4.4 Customer Consent Declaration on receiving materials relating to Investment Products/Services (including the Investment Corner) 收取投資產品/服務同意聲明(包括投資專櫃)

- I/We am/are, interested in Investment Products/Services. I/We provide my/our consent for Fubon to make reference to my/our deposit account information with Fubon in order to provide me/us with information on relevant Investment Products/Services.  
本人/我們對投資產品/服務感興趣。本人/我們同意富邦參考本人/我們於富邦的存款戶口資料，以便富邦為本人/我們提供相關投資產品/服務的資料。
- I/We am/are not, interested in Investment Products/Services. I/We do not agree to provide my/our consent for Fubon to make reference to my/our deposit account information with Fubon in order to provide me/us with information on relevant Investment Products/Services.  
本人/我們對投資產品/服務不感興趣。本人/我們不同意富邦參考本人/我們於富邦的存款戶口資料，以為本人/我們提供相關投資產品/服務的資料。



#### 4.5 Declaration and Agreement 聲明及協議

- (1) I/We acknowledge that I/we have been provided with the Global Terms and Conditions for Accounts and Services and have completed this Securities Account Opening Application. These documents shall form and constitute a binding contract between me/us and Fubon Bank ("Fubon"). I/We confirm that I/we have read, been explained and understood the Global Terms and Conditions for Accounts and Services and this Securities Account Opening Application and that I/we agree to be bound thereby. Terms defined in the Global Terms and Conditions for Accounts and Services shall have the same meanings when used herein.

本人/我們已獲提供《統一賬戶及服務條款》及已填寫《證券賬戶開立申請表》。《統一賬戶及服務條款》及《證券賬戶開立申請表》構成本人/我們與富邦之間的一份具約束性的合約。所有於《統一賬戶及服務條款》內已定義的詞彙於《證券賬戶開立申請表》內將具相同意思。本人/我們已省覽、獲解釋及明白該等《統一賬戶及服務條款》及《證券賬戶開立申請表》，並同意受其約束。

- (2) I/We undertake that no other person will have any interest of whatsoever nature in the Account(s) opened by me/us and any transaction conducted by me/us through the Account(s). Otherwise I/we shall provide the information of the ultimate beneficial owner(s) to Fubon.

本人/我們聲明，本人/我們為所有本人/我們開立之賬戶及經由該等賬戶進行的任何交易的最終受益人，否則，本人/我們同意向富邦提供有關最終受益人之詳細資料。

- (3) I/We declare and confirm that Fubon may act on instructions for operating the Account(s) given by me/us, the Authorized Person(s) named (if any) or by way of Authorized Impression (if any) in accordance with the Global Terms and Conditions for Accounts and Services and this Securities Account Opening Application, until Fubon's actual receipt of my/our revocation or amendment thereof in writing. Fubon is entitled to assume at all times, the legality and genuineness of the Authorized Person(s) and Authorized Impression without verification. I/We shall take all responsibility for any loss, liability or damage of whatsoever nature resulting therefrom.

本人/我們聲明及確認，富邦可根據《統一賬戶及服務條款》及《證券賬戶開立申請表》由上述獲授權人仕(如有的話)或以授權蓋印方式(如有的話)所發出的指示處理賬戶，直至富邦實際受到本人/我們以書面形式撤銷或更改該等指示為止。富邦有權在任何時候假設獲授權人仕及授權蓋印的合法性及真實性。本人/我們對此而引起之任何性質之損失、責任或損害負上全部責任。

- (4) I/We represent and warrant that all the information provided by me/us in this Securities Account Opening Application and other bank document(s) from time to time is and will be true and correct. I/We acknowledge that I/we have been provided with your Bank's "Notice to Customers and Other Individuals relating to the Personal Data (Privacy) Ordinance and Consumer Credit Data" (the "Notice") and confirm that I/we understand and accept the terms and conditions set out therein (as amended by the Bank from time to time). I/We declare that it is duly authorized by the aforesaid "Authorized Person(s)" and "Ultimate Beneficiary(ies)" of this Securities Account (the "Individuals", each an "Individual"), to confirm that each Individual has received, read and understood the Notice and agrees to be bound by them (as amended by the Bank from time to time) and that all personal data and information in respect of each Individual provided by me/us on behalf of each Individual to the Bank (a) have been collected by lawful means; and (b) are accurate in all material respects so far as I/we am/are aware. I/We agree to ensure that, in relation to all personal data collected by and provided to the Bank by me/us, all necessary consents required from the Individuals have been obtained and that the Individuals are aware that their personal data and information may be used, transferred or disclosed by the Bank in accordance with its policies on the use and disclosure of personal data as set out in the Notice made available by the Bank to each Individual through me/us from time to time and that those Individuals are aware that they may have legal rights of access to and correction of information held about them by the Bank.

本人/我們聲明及保證，所有本人/我們於《證券賬戶開立申請表》及不時於其他文件內向富邦提供的資料全屬真實及正確。本人/我們承認本人/我們已獲提供一份銀行的《致各客戶及其他個別人士關於個人資料(私隱)條例及個人信貸資料的通知》(下稱「該通知」)，並確認本人/我們明白及接受其中條款(以銀行不時修訂之版本為準)。本人/我們亦聲明被上述之「第三者授權人士」及「最終受益人」(下稱「該人士」)授權確認該人士已收到、閱讀並理解該通知，並同意受其約束(以銀行不時修訂之版本為準)。本人/我們聲明本人/我們代該人士向銀行提供的所有個人資料(a)均藉合法的方法收集；及(b)盡客戶所知的所有要項上均為準確。本人/我們同意確保，就銀行收集及由本人/我們提供予銀行的所有相關個人資料，已從該人士取得所需的同意，且該人士知悉銀行可以不時通過客戶提供給該人士有關該通知中所載目的，並根據銀行對使用及披露個人資料的政策去使用、轉移或披露該人士的所有個人資料和資訊，而該人士知悉他們可擁有要求查閱及更改銀行持有其資料的法律權利。

- (5) I/We have been advised to seek, (and I/we have done or will do so) if needed, independent professional advice on any of the Service(s) provided by Fubon and legal implications of this Securities Account Opening Application, Global Terms and Conditions for Accounts and Services any other Fubon document(s) I/we have signed or may sign for such Service(s).

有個人資料和資訊，而該人士知悉他們可擁有要求查閱及更改銀行持有其資料的法律權利。本人/我們獲建議(及本人/我們已或將會)為任何富邦所提供的任何服務及本人/我們已或將會就《證券賬戶開立申請表》、《統一賬戶及服務條款》及其他因該等服務而須簽署的文件的法律後果尋求獨立意見。

- (6) I/We understand and confirm that Chinese translation of the Global Terms and Conditions for Accounts and Services and this Securities Account Opening Application are for reference only and that the English version thereof shall prevail if there is any discrepancy between the two versions.

本人/我們聲明及確認，《統一賬戶及服務條款》及《證券賬戶開立申請表》的中文翻譯僅供參考，及如中英文本有所差異，一切將以英文原文為準。



- (7) For joint account, subject to compliance with the provisions of Estate Duty Ordinance (Cap. 111), any moneys standing in credit of our joint accounts with Fubon as well as any securities, deeds, boxes and parcels and their contents and property of any description held in our joint names at the date of death shall belong to the survivors thereof.

就聯名戶口而言，除遵照遺產稅條例(第111章)之規定辦理外，本人(等)於賬戶之存款及本人(等)聯名儲於富邦之任何證券、契約、箱盒、包裹及其他一切財務將由身故日起屬於本人(等)中之生存者。

- (8) I/We declare and confirm that the information provided in this Securities Account Opening Application is true and correct and agree to accept all the terms and conditions set out in this Securities Account Opening Application and the Global Terms and Conditions for Accounts and Services.

本人/我們聲明及確認於《證券賬戶開立申請表》內提供的資料真實無誤，並同意遵守《證券賬戶開立申請表》及《統一賬戶及服務條款》內的條款及細則。

- (9) I/We also hereby instruct and authorize Fubon to comply with my/our instructions given for the operation of the Account(s) in accordance with the Signing Instruction records with Fubon and the respective Mandate(s), if any.

本人/我們茲授權並要求富邦根據本申請表內及本人/我們於富邦記錄之簽名指示及或如有其他有關開戶文件所發出之指令進行交易。

- (10) I/We agree that all Account(s) opened under the same Customer number will be operated by the Authorized signatures or chops appearing on the Signing Instruction records with Fubon and in accordance with the terms and conditions as adopted from time to time for the conduct of the Account(s).

本人/我們同意所有在同一客戶編號以下之賬戶內的一切交易，均以本人/我們於富邦記錄之簽名指示上之被授權簽署或印章為準，本人/我們及被授權人仕(如適用)願意遵守各賬戶不時列明之章則。

- (11) I/We understand and agree that Fubon shall be permitted to transfer and/or disclose my/our data and/or the information relating to my/our account(s) to Fubon's major shareholder(s) and/or any of its/their subsidiaries or affiliate companies, (regardless of whether its/their principal place of business or registered office is/are in a domicile within or outside Hong Kong).

本人/我們明白及同意富邦的主要股東及/或其任何子公司或相關聯公司(不管其主要營業地或註冊地是否位於香港或香港以外的地區)轉移及/或披露本人/我們的資料及/或有關本人/我們賬戶的訊息。

- (12) If I/we am/are in a jurisdiction outside Hong Kong at the time of completing and signing this Securities Account Opening Application, then I/we request that the person who attended upon me/us, to forward same and all supporting documents and information on my/our behalf to Fubon for processing.

假如本人/我們填寫及簽訂此《證券賬戶開立申請表》時身處香港以外的司法管轄區，本人/我們要求協助本人/我們作出申請的人代表本人/我們將此申請表及所有支持文件及資料轉交富邦。

- (13) I/We acknowledge and agree that Fubon is hereby irrevocably authorized to enter into any transaction for my/our account with any other member of Fubon group and/or any agent of Fubon, and Fubon may be interested in any such transaction and shall not be accountable to me/us for any profit or benefit arising therefrom.

本人/我們確認及同意富邦不可撤回地獲授權代表本人/我們與富邦集團任何其他成員及/或富邦任何代理人進行任何交易，富邦可在任何該等交易佔有權益，而且不須向本人/我們交待因該等交易而產生之任何利潤或利益。

- (14) Risks of Client securities received or held outside Hong Kong:

I/We understand Client securities received or held by the licensed or registered person outside Hong Kong are subject to the applicable laws and regulations of the relevant overseas jurisdiction which may be different from the Securities and Future Ordinance (Cap. 571) and the rules made thereunder. Consequently, such Client securities may not enjoy the same protection as that conferred on Client securities received or held in Hong Kong.

在香港以外地方收取或持有客戶證券的風險：

本人/我們明白持牌人或註冊人在香港以外地方收取或持有的客戶證券，是受到有關海外司法管轄區的適用法律及規例所監管的。這些法律及規例與《證券及期貨條例》(第571章)及根據該條例制訂的規則可能有所不同。因此，有關客戶證券將可能不會享有賦予在香港收取或持有的客戶證券的相同保障。

- (15) Applicable to Joint Accounts:

We understand that if the signatory arrangement of our account is either-one-to-sign, suitability assessment for investment transactions will be based on the risk tolerance level and personal circumstances of the account holder who places the investment order and makes the investment decision without referencing to the risk tolerance level and personal circumstances of the other account holder(s), if any.

適用於聯名賬戶：

我們明白，倘若此賬戶的簽署安排為「單式簽署(即由其中一名賬戶持有人簽署便可)」，富邦在進行投資合適性評估時，將只會就該名向富邦發出投資交易指示並作出投資決定的賬戶持有人所能承受的風險水平及個人狀況作考量，而毋須參照其他賬戶持有人(如有)的相關狀況作評估。



#### 4.6 Declaration on Status of U.S. Person and Canadian Residence 美國人及加拿大居籍人士聲明

I hereby declare that: 本人謹此聲明:

(i) **U.S.: 美國:**

- I am neither a "U.S. Person" (as defined below), nor an agent for the same, whether for the securities or tax laws or for any purposes.  
本人聲明無論從美國的證券或稅務法例或其它方面而言, 本人並非「美國人」(根據以下定義), 亦非任何此等美國人的代理人。
- I am a "U.S. Person" (as defined below), or an agent for the same, for the securities or tax laws or for certain other purposes.  
本人聲明從美國的證券或稅務法例或其它方面而言, 本人是「美國人」(根據以下定義), 或此等美國人的代理人。

(ii) **Canada: 加拿大:**

- I am not a resident of or domiciled in Canada, or an agent for the same, whether for the securities or tax laws or for any purposes.  
本人聲明無論從加拿大的證券或稅務法例或其它方面而言, 本人並非加拿大居民或屬加拿大居籍人士, 亦非任何此等加拿大籍人士的代理人。
- I am a resident of or domiciled in Canada, or an agent for the same, for the securities or tax laws or for certain other purposes.  
本人聲明從加拿大的證券或稅務法例或其它方面而言, 本人是加拿大居民或屬加拿大居籍人士, 或任何此等加拿大籍人士的代理人。

I also undertake to inform Fubon promptly if at any time I become a "U.S. Person" or "Canadian Resident".

本人承諾, 若本人在任何時間成為「美國人」/「加拿大居民」或屬加拿大居籍人士時, 須即時通知貴行。

Account Holder 1 Signature 第一申請人簽署

S.V.

Date 日期

Name 姓名 \_\_\_\_\_ ID No. / Passport No. 身份證/護照號碼 \_\_\_\_\_

I hereby declare that: 本人謹此聲明:

(i) **U.S.: 美國:**

- I am neither a "U.S. Person" (as defined below), nor an agent for the same, whether for the securities or tax laws or for any purposes.  
本人聲明無論從美國的證券或稅務法例或其它方面而言, 本人並非「美國人」(根據以下定義), 亦非任何此等美國人的代理人。
- I am a "U.S. Person" (as defined below), or an agent for the same, for the securities or tax laws or for certain other purposes.  
本人聲明從美國的證券或稅務法例或其它方面而言, 本人是「美國人」(根據以下定義), 或此等美國人的代理人。

(ii) **Canada: 加拿大:**

- I am not a resident of or domiciled in Canada, or an agent for the same, whether for the securities or tax laws or for any purposes.  
本人聲明無論從加拿大的證券或稅務法例或其它方面而言, 本人並非加拿大居民或屬加拿大居籍人士, 亦非任何此等加拿大籍人士的代理人。
- I am a resident of or domiciled in Canada, or an agent for the same, for the securities or tax laws or for certain other purposes.  
本人聲明從加拿大的證券或稅務法例或其它方面而言, 本人是加拿大居民或屬加拿大居籍人士, 或任何此等加拿大籍人士的代理人。

I also undertake to inform Fubon promptly if at any time I become a "U.S. Person" or "Canadian Resident".

本人承諾, 若本人在任何時間成為「美國人」/「加拿大居民」或屬加拿大居籍人士時, 須即時通知貴行。

Account Holder 2 Signature 聯名申請人簽署

S.V.

Date 日期

Name 姓名 \_\_\_\_\_ ID No. / Passport No. 身份證/護照號碼 \_\_\_\_\_

**Note:**

1. "U.S. Person" means any of the following:

- (i) any United States citizen or resident;
- (ii) any corporation, partnership or other entity organized or existing under the laws of any state, territory or possession of the United States;
- (iii) any estate or trust of which any executor, administrator or trustee is a U.S. Person;
- (iv) any agency or branch of a foreign entity located in the United States;
- (v) any discretionary trust of a U.S. Person; or
- (vi) any foreign partnership or corporation formed by a U.S. Person principally for the purpose of investing in unregistered securities.

2. "Canadian Resident" means any of the following:

- (i) a lawfully domiciled person in Canada;
- (ii) any corporation, partnership or other entity created or organized under the federal laws of Canada or any province (including any foreign corporation which lawfully maintains a permanent place of business in Canada, generally referred to in tax treaties as a permanent establishment); or
- (iii) any Canadian estate or trust that is subject to Canadian federal income taxation, regardless of the source and regardless of whether such income is effectively connected with a Canadian trade or business or having its principal place of business in Canada.

**註:**

1. 「美國人」是指以下任何一項:

- (i) 任何美國公民或居民;
- (ii) 任何根據美國任何州分、領土或屬土的法例組織或存在的任何公司、合夥公司或其他實體;
- (iii) 其任何遺囑執行人、遺產管理人或信託人為美國人的任何遺產 或信託;
- (iv) 位於美國的海外實體的任何代理或分行;
- (v) 美國人的任何全權委託信託; 或
- (vi) 美國人主要為投資於非登記證券而組成的任何海外合夥公司或公司的利益而發售或出售。

2. 「加拿大居民」是指以下任何一項:

- (i) 任何已取得加拿大居籍的人士;
- (ii) 任何根據加拿大聯邦法或任何州分的法例組織或成立任何公司、合夥公司或其他實體 (包括任何外國企業於加拿大成立之永久機構, 一般於稅務條約中引用為永久機構); 或
- (iii) 任何須繳付加拿大聯邦入息稅的遺產或信託, 不論其收入來源及不論其收入是與加拿大貿易或業務相關聯, 或已於加拿大設立主要營業地點與否。



## Opt-out from Use of Personal Data in Direct Marketing 選擇拒絕在直接促銷中使用個人資料

Account Holder 1 第一申請人	Account Holder 2 聯名申請人
<p>You should check ("✓") this box <input type="checkbox"/> if you do not wish the Bank to use your personal data in direct marketing.</p> <p>如閣下不希望本行在直接促銷中使用閣下的個人資料，請在此方格內 <input type="checkbox"/> 加上剔號("✓")。</p> <p>The Bank may provide your personal data to the Bank's group companies for their use in direct marketing. You should check ("✓") this box <input type="checkbox"/> if you do not wish the Bank to provide your personal data to the Bank's group companies for their use in direct marketing.</p> <p>本行可能將閣下的個人資料提供予本行之集團公司，以供其在直接促銷中使用。如閣下不希望本行將閣下的個人資料提供予本行之集團公司，以供其在直接促銷中使用，請在此方格內 <input type="checkbox"/> 加上剔號("✓")。</p>	<p>You should check ("✓") this box <input type="checkbox"/> if you do not wish the Bank to use your personal data in direct marketing.</p> <p>如閣下不希望本行在直接促銷中使用閣下的個人資料，請在此方格內 <input type="checkbox"/> 加上剔號("✓")。</p> <p>The Bank may provide your personal data to the Bank's group companies for their use in direct marketing. You should check ("✓") this box <input type="checkbox"/> if you do not wish the Bank to provide your personal data to the Bank's group companies for their use in direct marketing.</p> <p>本行可能將閣下的個人資料提供予本行之集團公司，以供其在直接促銷中使用。如閣下不希望本行將閣下的個人資料提供予本行之集團公司，以供其在直接促銷中使用，請在此方格內 <input type="checkbox"/> 加上剔號("✓")。</p>

The above represents your present choice whether or not to receive direct marketing contact or information. This replaces any choice communicated by you to the Bank prior to this application. 以上代表閣下目前就是否希望收到直接促銷聯繫或資訊的選擇，並取代閣下於本申請前向本行傳達的任何選擇。

Please note that your above choice applies to the direct marketing of the classes of products, services and/or subjects as set out in the Bank's "Notice to Customers and Other Individuals relating to the Personal Data (Privacy) Ordinance and Consumer Credit Data" (The "Notice") (attached to this form). Please also refer to the Notice on the kinds of personal data which may be used in direct marketing and classes of persons to which your personal data may be provided for them to use in direct marketing.

請注意閣下以上的選擇適用於就[本表格隨附之]本行《致各客戶及其他個別人士關於個人資料(私隱)條例及個人信貸資料的通知》(下稱「該通知」)(本表格隨附之)中所列出的產品、服務及/或標的類別的直接促銷。閣下亦可參閱該通知以得知在直接促銷中可使用的個人資料的種類，以及閣下的個人資料可提供予什麼類別的人士以供該等人士在直接促銷中使用。

## Part 5 Acceptance 第五部份 接納書

### Confirmation of Acceptance 接納書

I/We, the undersigned, agree and confirm that:

本人/我們，下述簽署者，同意及確認：

- I/We have read, been explained, understood, accepted and agreed to be bound by, and been provided with a copy of the Global Terms and Conditions for Accounts and Services including all relevant risk disclosures contained therein;  
本人/我們已閱讀、獲解釋、明白、接受及同意遵守《統一賬戶及服務條款》包括所有有關風險披露，並已獲得副本一份；
- I/We herein provided the information is true, complete and accurate in all respects;  
本人/我們於本申請表內提供的資料全屬真實、完全及正確；
- I/We have applied (if completed) for password(s) as set out in the Manned Stock Trading Service Password Application;  
本人/我們已申請(如已填妥)於申請專人下單服務密碼的密碼；
- I/We have appointed and authorized (if completed) the Authorized Person(s) as named in the Third Party Authorization and accepted the terms therein;  
本人/我們已委派及授權(如已填妥)填報於第三者授權申請的獲授權人及接受有關條款；
- I/We have been invited to read, ask questions and take independent advice on, and been provided with a copy of the Global Risk Disclosure Statement;  
本人/我們已獲邀閱讀統一風險披露聲明，提出問題及徵求獨立的意見，並已獲得副本一份；
- I/We have read, been explained, understood, accepted and agreed to be bound by the Undertaking for Trading Taiwanese Stocks and Taiwanese Securities as listed in this Securities Account Opening Application; and  
本人/我們已閱讀、獲解釋、明白、接受及同意遵守詳列於本《證券賬戶開立申請表》之台股及台灣有價證券買賣承諾書；及
- I/We represent and warrant that all the information provided by me/us in this Securities Account Opening Application and other bank document(s) from time to time is and will be true and correct. I/We acknowledge that I/we have been provided with your Bank's "Notice to Customers and Other Individuals relating to the Personal Data (Privacy) Ordinance and Consumer Credit Data" and confirm that I/we have read, understood and accepted the terms and conditions set out therein.  
本人/我們聲明及保證，所有本人/我們於《證券賬戶開立申請表》及不時於其他文件內向富邦提供的資料全屬真實及正確。本人/我們承認本人/我們已獲提供一份銀行的《致各客戶及其他個別人士關於個人資料(私隱)條例及個人信貸資料的通知》，並確認本人/我們已閱讀、明白及接受其中條款。

Account Holder 1 Signature 第一申請人簽署

Account Holder 2 Signature 聯名申請人簽署

S.V.

S.V.

Name

姓名

ID No. / Passport No.

身份證/護照號碼

Date

日期

Name

姓名

ID No. / Passport No.

身份證/護照號碼

Date

日期



## Part 6 For Bank Use Only

### 第六部份 銀行專用

#### For Bank Use Only 銀行專用

#### Declaration by Fubon Staff 富邦職員聲明

I, the undersigned, have provided the Customer mentioned above with the Global Terms and Conditions for Accounts and Services containing the relevant risk disclosures in a language of the Customer's choice (English or Chinese) and have invited the Customer to read the relevant risk disclosures contained therein, ask questions and take independent advice if the Customer wishes.

Signature of RI \_\_\_\_\_ Date \_\_\_\_\_

Name	_____	HKMA RI Registration No.	_____
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#### Branch / Processing Unit 分行 / 處理組

Principal AO Code	_____	Customer Domicile Branch	_____
Blacklist & PEP Checked by	_____	Name and Check date	_____
Services Subscribed	<input type="checkbox"/> IST	<input type="checkbox"/> Manned Services	<input type="checkbox"/> Overdraft Facility against Securities (Pass a copy of the relevant page to the loan staff for following up with the customer)
Documents checked and approved by:	Finacle / COPIA input by:	Finacle / COPIA input checked by:	
Signature _____ Name _____ Date _____	Signature _____ Name _____ Date _____	Signature _____ Name _____ Date _____	