

客户开立证券买卖户口需知

NOTE TO CLIENT (INDIVIDUAL/JOINT ACCOUNT)

RELATING TO OPENING SECURITIES TRADING ACCOUNT

感谢阁下选择 Wealth Insights Securities Limited (WIS)。开立现金证券买卖账户，必须填妥《开户申请表》及以下有关开户文件：

Thank you for choosing WIS. To open a Cash securities trading account, client shall complete and sign the following documents:

1. 开户申请表 Account Opening Form	必填开户文件 Essential Account Opening Documents
2. 专业投资者声明 Wholesale Investor Certificate	
3. 美国国税局表格 W-8BEN (Individuals)	
4. 个人税务居民身份自我证明表格 Individual-Tax-Residency-Self-Certification	
5. 客户风险投资取向问卷 Client Risk Profiling Questionnaire	
6. 风险披露声明 Risk Disclosure Statement	
7. 政治人物问卷调查 Politically Exposed Persons Questionnaire	政治人物及有关人士适用 Applicable to PEP and related person



开户申请表
Account Opening Form

A. 客户资料 CLIENT INFORMATION		
姓 Surname	名 Given Name	性别 Gender ☐ 男 Male ☐ 女 Female
身份证明文件类别 Identity Document Type	身份证明文件号码 ID / Passport No.	证件签发地 Place of Issue
国籍 Nationality	出生日期（日/月/年）Date of Birth (DD/MM/YYYY)	出生地点 Place of Birth
学历程度 Education Level	☐ Primary 小学 ☐ Secondary 中学 ☐ University or above 大学或以上	
婚姻状况 Marital Status	☐ Single 未婚 ☐ Married 已婚 ☐ Widowed 丧偶 ☐ Divorced 离异	
手机号码（连国家代码 +） Mobile No. (Including Country Code +)		办公电话 Office Telephone No
传真号码 Fax No.		住宅座机号码 Home Telephone No
电邮地址 Email Address		
住宅地址 Residential Address		
通讯地址（如与上述不同）Correspondence Address (if different from above)		

B. 就业情况 EMPLOYMENT STATUS		
请勾选一项 Please check one of below ☐ 受雇 Employed ☐ 无业 Unemployed ☐ 雇主/自雇 Self-employed ☐ 学生 Student ☐ 退休 Retired	雇主名称 Name of Employer (英文 English) _____ (中文 Chinese) _____	
	职位 Job Title	任职年期 Years of Service
	公司经营地址 Principle place of Operations	办公电话 Office Telephone No
	业务类型 Nature of Business ☐ 信息科技 IT ☐ 进出口 Import/Export ☐ 通商运输 Commercial Shipping ☐ 投资 Investments ☐ 贸易与制造业 Trading & Manufacturing ☐ 零售业 Retail ☐ 房地产业 Real Estate ☐ 其它（请说明）Others (Please specify) _____	

C. 财务状况 FINANCIAL INFORMATION	
年薪 Annual Income ☐ < US\$100,000 ☐ US\$100,001 – US\$500,000 ☐ US\$500,001 – US\$1,000,000 ☐ US\$1,000,001 – US\$5,000,000 ☐ US\$5,000,001 – US\$10,000,000 ☐ 其他 Other: US\$ _____	住宅 Residence ☐ 自置物业 Self-owned ☐ 按揭物业 Mortgage ☐ 租用 Rent ☐ 与家人同住 Living with family ☐ 宿舍 Quarters ☐ 其他 Other: _____



Wealth Insights Securities Limited

A New Zealand registered financial service provider (FSP1003463)

财富来源 Source of Wealth	☐ 受雇薪金或花紅 Salary Bonus ☐ 营业收入 Business Income ☐ 租售物业/资产 Sell or lease of Property/Assets ☐ 投资收益 Investment Income ☐ 遗产/馈赠 Inheritance /Gift ☐ 其他 Other: _____	流动资产 Liquid Assets	☐ < US\$100,000 ☐ US\$100,001 – US\$500,000 ☐ US\$500,001 – US\$1,000,000 ☐ US\$1,000,001 – US\$5,000,000 ☐ US\$5,000,001 – US\$10,000,000 ☐ 其他 Other: US\$ _____
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客户签署 CLIENT'S SIGNATURE

倘若签署本部分，签署人（作为客户）即确认已阅读，明白及接受《Terms of Service》，本申请表及有关附件之一切内容和条款约束

By Signing off this session, the Signer(s) (as Client) confirmed he/she has read, understand, and accept all the contents and conditions written on the Terms of Service, this Form, and all relevant Appendix(es).

签署 Signature:

账户持有人姓名

Name of Account Holder: _____

日期 Date: _____