



客戶資料表格 (個人 / 聯名戶口)

CLIENT INFORMATION STATEMENT (INDIVIDUAL/ JOINT ACCOUNT)

帳戶服務 Account Services :

1. <input type="checkbox"/> 港股(現金帳戶) HK Stock (Cash A/C)	: <input type="checkbox"/> 附託管服務 With custody services <input type="checkbox"/> 不附託管服務 Without custody services	1. <input type="checkbox"/> 海外股票 Overseas Stock	: <input type="checkbox"/> 美股 (祇接受保證金帳戶) US Stock (Margin A/C only) <input type="checkbox"/> 新加坡股票 Singapore Stock <input type="checkbox"/> 其它 Others
2. <input type="checkbox"/> 港股 (保證金帳戶) HK Stock (Margin A/C)		4. <input type="checkbox"/> 期貨 Futures	: <input type="checkbox"/> 靚港期貨 HK Futures <input type="checkbox"/> 海外期貨 Overseas Futures

客戶主任姓名 :
Name of Account Executive :

客戶主任編號 :
A E Code :

與客戶主任認識年期 :
How long known to AE :

介紹人 :
Introduced By :

帳戶號碼 : (現金/保證金)
Account No : (Cash/Margin)

(期貨)
(Futures)

帳戶類型 : 個人帳戶 聯名戶口
Account Type : Individual A/C Joint A/C

申請開戶日期 :
Application Date :

A. 客戶資料 CLIENT DETAILS

個人/聯名帳戶主要持有人資料

Individual/Primary Joint Account Holder

1 客戶姓名 Customer Name
先生 Mr. / 女士 Ms. / 太太 Mrs. / 小姐 Miss

(英文)
(English) 先寫姓氏 Surname first

(中文)
(Chinese)

2 住宅 Residential Address

郵政編號
Postal Code

通訊地址 Correspondence Address

(如與上址不同 If different from above)

郵政編號
Postal Code

3 電郵地址 Email Address
(最多 50 個字母 Max.50 characters)

(只須由個人/主要帳戶持有人填寫 For Individual/ Primary Joint Account Holder Only)

聯名帳戶第二戶口持有人資料

Secondary Joint Account Holder

1 客戶姓名 Customer Name
先生 Mr. / 女士 Ms. / 太太 Mrs. / 小姐 Miss

(英文)
(English) 先寫姓氏 Surname first

(中文)
(Chinese)

與主要戶口持有人關係 Relationship with Primary Account Holder :

直系親屬 請註明
 Immediate Family Member Please specify _____

親戚 朋友 其他
 Relative Friends Other: _____

2. 住宅 Residential Address (如與主要戶口持有人不同 If different from Primary holder)

郵政編號
Postal Code

通訊地址 Correspondence Address

(如與上址不同 If different from above)

郵政編號
Postal Code

4 軒港身份證號碼/ 護照號碼
HKID Card No/ Passport No

5 簽發地點
Place of Issue

6 住宅電話
Home Phone No

7 流動電話
Mobile Phone No

8 辦公室電話
Office Phone No

9 傳真號碼
Facsimile No

10 國籍/ 公民身份
Nationality/ Citizenship

4 軒港身份證號碼/ 護照號碼
HKID Card No/ Passport No

5 簽發地點
Place of Issue

6 住宅電話
Home Phone No

7 流動電話
Mobile Phone No

8 辦公室電話
Office Phone No

9 傳真號碼
Facsimile No

10 國籍/ 公民身份
Nationality/ Citizenship

B. 業務/工作狀況 BUSINESS/ EMPLOYMENT STATUS

1 職業/ 業務性質
Occupation/ Business

2 職位
Job Title

3 僱主名稱
Name of Employer

4 受僱年期
Years with Employer

5 辦公室地址 Office Address

郵政編號
Postal Code

1 職業/ 業務性質
Occupation/ Business

2 職位
Job Title

3 僱主名稱
Name of Employer

4 受僱年期
Years with Employer

5 辦公室地址 Office Address

郵政編號
Postal Code

C. 銀行資料 BANK INFORMATION

銀行帳戶 (只供存款用途) BANKING ACCOUNT (For fund deposit only)

除閣下另行指示外，任何支付予閣下的款項將會存入下列銀行帳戶：

Unless otherwise to be instructed by you, all monies payable to you will be credited to the following bank account:

銀行 Bank : _____ 帳戶名稱 Account Name : _____

帳戶號碼 Account Number : _____

D. 客戶背景申報 DECLARATION BY CUSTOMER

1 閣下是否任何受證監會監管的機構的員工、代理或高級人員？(如是，請提供你僱主的書面同意)

Are you the employee, agent or officer of an entity regulated by the SFC? (If yes, please provide your employer consent letter)

是，有關的交易所參與者或中介人的名稱是：

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

否 No

<p>2 閣下是否有親屬於天行聯合證券有限公司工作？ Do you have any relatives working in United Simsen Securities Limited?</p> <p><input type="checkbox"/> 是 · 該職員/ 代理人的姓名： _____ 關係： _____</p> <p>Yes, Name of employee/ agent: _____ Relationship: _____</p> <p><input type="checkbox"/> 否 No _____</p>			
<p>3 閣下是否為天行聯合證券有限公司或其所屬集團的「關連客戶」(按香港聯合交易所有限公司上市規則附件六的定義)？ Are you a “connected client” (as defined under Appendix 6 to the Rules Governing the Listing of Securities of the Stock Exchange of Hong Kong Limited) of United Simsen Securities Limited or the group in which it is a member?</p> <p><input type="checkbox"/> 是 · 詳細關係： _____</p> <p>Yes, detail of the relationship: _____</p> <p><input type="checkbox"/> 否 No _____</p>			
<p>4 防止洗黑錢及防止恐怖份子籌資活動 ANTI-MONEY LAUNDERING & ANTI-TERRORIST FINANCING 請選答(i) · (ii) 或 (iii)其中一項及簡簽 Please answer and initial for either part (i), (ii) or (iii).</p>			
<p>i) 本地客戶 (如香港居民) For Local Client (i.e. Residents of Hong Kong)</p> <table style="width: 100%; border: none;"> <tr> <td style="width: 50%; vertical-align: top; padding: 5px;"> <p>a 閣下是否構政界人士有聯繫？(政界人士：指目前或以往曾經擔任重要公職的人士，如國家或政府的首長，資深政客，政府高級官員和重要政黨官員等) Are you linked to politically exposed persons? (Politically exposed person – individual who is or has been entrusted with prominent public function e.g. head of state/government, senior politician, senior executive of government-owned corporation, important political party official, etc)</p> <p><input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No</p> <p>b 閣下的業務性質是否特別容易蒙受較高的洗黑錢風險？(舉例：如會接觸大量現金往來，找換業或博彩業) Is the nature of your business particularly susceptible to money laundering risk? (For example, money changer or casino business that handles large amount of cash)</p> <p><input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No</p> <p>c 閣下的金錢來源是否源於或涉及非法所得？ Does your money might be arising from or related to proceeds of crime?</p> <p><input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No</p> <p style="text-align: center;">客戶簡簽 Initialized by Client: </p> </td> <td style="width: 50%; vertical-align: top; padding: 5px;"> <p>a 閣下是否構政界人士有聯繫？(政界人士：指目前或以往曾經擔任重要公職的人士，如國家或政府的首長，資深政客，政府高級官員和重要政黨官員等) Are you linked to politically exposed persons? (Politically exposed person – individual who is or has been entrusted with prominent public function e.g. head of state/government, senior politician, senior executive of government-owned corporation, important political party official, etc)</p> <p>是 Yes 否 No</p> <p>b <input checked="" type="checkbox"/> 閣下的業務性質是否特別容易蒙受較高的洗黑錢風險？(舉例：如會接觸大量現金往來，找換業或博彩業) Is the nature of your business particularly susceptible to money laundering risk? (For example, money changer or casino business that handles large amount of cash)</p> <p>是 Yes 否 No</p> <p>c <input checked="" type="checkbox"/> 閣下的金錢來源是否源於或涉及非法所得？ Does your money might be arising from or related to proceeds of crime?</p> <p>是 Yes 否 No</p> <p style="text-align: center;"><input type="checkbox"/> 客戶簡簽 Initialized by Client: </p> </td> </tr> </table>		<p>a 閣下是否構政界人士有聯繫？(政界人士：指目前或以往曾經擔任重要公職的人士，如國家或政府的首長，資深政客，政府高級官員和重要政黨官員等) Are you linked to politically exposed persons? (Politically exposed person – individual who is or has been entrusted with prominent public function e.g. head of state/government, senior politician, senior executive of government-owned corporation, important political party official, etc)</p> <p><input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No</p> <p>b 閣下的業務性質是否特別容易蒙受較高的洗黑錢風險？(舉例：如會接觸大量現金往來，找換業或博彩業) Is the nature of your business particularly susceptible to money laundering risk? (For example, money changer or casino business that handles large amount of cash)</p> <p><input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No</p> <p>c 閣下的金錢來源是否源於或涉及非法所得？ Does your money might be arising from or related to proceeds of crime?</p> <p><input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No</p> <p style="text-align: center;">客戶簡簽 Initialized by Client: </p>	<p>a 閣下是否構政界人士有聯繫？(政界人士：指目前或以往曾經擔任重要公職的人士，如國家或政府的首長，資深政客，政府高級官員和重要政黨官員等) Are you linked to politically exposed persons? (Politically exposed person – individual who is or has been entrusted with prominent public function e.g. head of state/government, senior politician, senior executive of government-owned corporation, important political party official, etc)</p> <p>是 Yes 否 No</p> <p>b <input checked="" type="checkbox"/> 閣下的業務性質是否特別容易蒙受較高的洗黑錢風險？(舉例：如會接觸大量現金往來，找換業或博彩業) Is the nature of your business particularly susceptible to money laundering risk? (For example, money changer or casino business that handles large amount of cash)</p> <p>是 Yes 否 No</p> <p>c <input checked="" type="checkbox"/> 閣下的金錢來源是否源於或涉及非法所得？ Does your money might be arising from or related to proceeds of crime?</p> <p>是 Yes 否 No</p> <p style="text-align: center;"><input type="checkbox"/> 客戶簡簽 Initialized by Client: </p>
<p>a 閣下是否構政界人士有聯繫？(政界人士：指目前或以往曾經擔任重要公職的人士，如國家或政府的首長，資深政客，政府高級官員和重要政黨官員等) Are you linked to politically exposed persons? (Politically exposed person – individual who is or has been entrusted with prominent public function e.g. head of state/government, senior politician, senior executive of government-owned corporation, important political party official, etc)</p> <p><input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No</p> <p>b 閣下的業務性質是否特別容易蒙受較高的洗黑錢風險？(舉例：如會接觸大量現金往來，找換業或博彩業) Is the nature of your business particularly susceptible to money laundering risk? (For example, money changer or casino business that handles large amount of cash)</p> <p><input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No</p> <p>c 閣下的金錢來源是否源於或涉及非法所得？ Does your money might be arising from or related to proceeds of crime?</p> <p><input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No</p> <p style="text-align: center;">客戶簡簽 Initialized by Client: </p>	<p>a 閣下是否構政界人士有聯繫？(政界人士：指目前或以往曾經擔任重要公職的人士，如國家或政府的首長，資深政客，政府高級官員和重要政黨官員等) Are you linked to politically exposed persons? (Politically exposed person – individual who is or has been entrusted with prominent public function e.g. head of state/government, senior politician, senior executive of government-owned corporation, important political party official, etc)</p> <p>是 Yes 否 No</p> <p>b <input checked="" type="checkbox"/> 閣下的業務性質是否特別容易蒙受較高的洗黑錢風險？(舉例：如會接觸大量現金往來，找換業或博彩業) Is the nature of your business particularly susceptible to money laundering risk? (For example, money changer or casino business that handles large amount of cash)</p> <p>是 Yes 否 No</p> <p>c <input checked="" type="checkbox"/> 閣下的金錢來源是否源於或涉及非法所得？ Does your money might be arising from or related to proceeds of crime?</p> <p>是 Yes 否 No</p> <p style="text-align: center;"><input type="checkbox"/> 客戶簡簽 Initialized by Client: </p>		
<p>ii) 海外客戶 (如非本港居民) For Overseas Client (i.e. Non-residents of Hong Kong)</p> <table style="width: 100%; border: none;"> <tr> <td style="width: 50%; vertical-align: top; padding: 5px;"> <p>a 閣下居住的國家是否財務行動特別組織的成員？(財務行動特別組織成員包括：阿根廷、澳大利亞、奧地利、比利時、巴西、加拿大、中國、丹麥、芬蘭、法國、德國、希臘、香港、冰島、愛爾蘭、意大利、日本、盧森堡、墨西哥、荷蘭、紐西蘭、挪威、葡萄牙、俄羅斯聯邦、新加坡、南非、西班牙、瑞典、瑞士、土耳其、英國、美國、歐洲委員會及海灣合作理事會) Is the country that you located is a member of the Financial Action Task Force (“FATF”)? (Members of FATF include: Argentina, Australia, Austria, Belgium, Brazil, Canada, China, Denmark, Finland, France, Germany, Greece, Hong Kong, Iceland, Ireland, Italy, Japan, Luxembourg, Mexico, Netherlands, New Zealand, Norway, Portugal, Russian Federation, Singapore, South Africa, Spain, Sweden, Switzerland, Turkey, United Kingdom, USA, European Commission, and the Gulf Cooperation Council)</p> <p><input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No</p> </td> <td style="width: 50%; vertical-align: top; padding: 5px;"> <p>a 閣下居住的國家是否財務行動特別組織的成員？(財務行動特別組織成員包括：阿根廷、澳大利亞、奧地利、比利時、巴西、加拿大、中國、丹麥、芬蘭、法國、德國、希臘、香港、冰島、愛爾蘭、意大利、日本、盧森堡、墨西哥、荷蘭、紐西蘭、挪威、葡萄牙、俄羅斯聯邦、新加坡、南非、西班牙、瑞典、瑞士、土耳其、英國、美國、歐洲委員會及海灣合作理事會) Is the country that you located is a member of the Financial Action Task Force (“FATF”)? (Members of FATF include: Argentina, Australia, Austria, Belgium, Brazil, Canada, China, Denmark, Finland, France, Germany, Greece, Hong Kong, Iceland, Ireland, Italy, Japan, Luxembourg, Mexico, Netherlands, New Zealand, Norway, Portugal, Russian Federation, Singapore, South Africa, Spain, Sweden, Switzerland, Turkey, United Kingdom, USA, European Commission, and the Gulf Cooperation Council)</p> <p><input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No</p> </td> </tr> </table>		<p>a 閣下居住的國家是否財務行動特別組織的成員？(財務行動特別組織成員包括：阿根廷、澳大利亞、奧地利、比利時、巴西、加拿大、中國、丹麥、芬蘭、法國、德國、希臘、香港、冰島、愛爾蘭、意大利、日本、盧森堡、墨西哥、荷蘭、紐西蘭、挪威、葡萄牙、俄羅斯聯邦、新加坡、南非、西班牙、瑞典、瑞士、土耳其、英國、美國、歐洲委員會及海灣合作理事會) Is the country that you located is a member of the Financial Action Task Force (“FATF”)? (Members of FATF include: Argentina, Australia, Austria, Belgium, Brazil, Canada, China, Denmark, Finland, France, Germany, Greece, Hong Kong, Iceland, Ireland, Italy, Japan, Luxembourg, Mexico, Netherlands, New Zealand, Norway, Portugal, Russian Federation, Singapore, South Africa, Spain, Sweden, Switzerland, Turkey, United Kingdom, USA, European Commission, and the Gulf Cooperation Council)</p> <p><input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No</p>	<p>a 閣下居住的國家是否財務行動特別組織的成員？(財務行動特別組織成員包括：阿根廷、澳大利亞、奧地利、比利時、巴西、加拿大、中國、丹麥、芬蘭、法國、德國、希臘、香港、冰島、愛爾蘭、意大利、日本、盧森堡、墨西哥、荷蘭、紐西蘭、挪威、葡萄牙、俄羅斯聯邦、新加坡、南非、西班牙、瑞典、瑞士、土耳其、英國、美國、歐洲委員會及海灣合作理事會) Is the country that you located is a member of the Financial Action Task Force (“FATF”)? (Members of FATF include: Argentina, Australia, Austria, Belgium, Brazil, Canada, China, Denmark, Finland, France, Germany, Greece, Hong Kong, Iceland, Ireland, Italy, Japan, Luxembourg, Mexico, Netherlands, New Zealand, Norway, Portugal, Russian Federation, Singapore, South Africa, Spain, Sweden, Switzerland, Turkey, United Kingdom, USA, European Commission, and the Gulf Cooperation Council)</p> <p><input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No</p>
<p>a 閣下居住的國家是否財務行動特別組織的成員？(財務行動特別組織成員包括：阿根廷、澳大利亞、奧地利、比利時、巴西、加拿大、中國、丹麥、芬蘭、法國、德國、希臘、香港、冰島、愛爾蘭、意大利、日本、盧森堡、墨西哥、荷蘭、紐西蘭、挪威、葡萄牙、俄羅斯聯邦、新加坡、南非、西班牙、瑞典、瑞士、土耳其、英國、美國、歐洲委員會及海灣合作理事會) Is the country that you located is a member of the Financial Action Task Force (“FATF”)? (Members of FATF include: Argentina, Australia, Austria, Belgium, Brazil, Canada, China, Denmark, Finland, France, Germany, Greece, Hong Kong, Iceland, Ireland, Italy, Japan, Luxembourg, Mexico, Netherlands, New Zealand, Norway, Portugal, Russian Federation, Singapore, South Africa, Spain, Sweden, Switzerland, Turkey, United Kingdom, USA, European Commission, and the Gulf Cooperation Council)</p> <p><input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No</p>	<p>a 閣下居住的國家是否財務行動特別組織的成員？(財務行動特別組織成員包括：阿根廷、澳大利亞、奧地利、比利時、巴西、加拿大、中國、丹麥、芬蘭、法國、德國、希臘、香港、冰島、愛爾蘭、意大利、日本、盧森堡、墨西哥、荷蘭、紐西蘭、挪威、葡萄牙、俄羅斯聯邦、新加坡、南非、西班牙、瑞典、瑞士、土耳其、英國、美國、歐洲委員會及海灣合作理事會) Is the country that you located is a member of the Financial Action Task Force (“FATF”)? (Members of FATF include: Argentina, Australia, Austria, Belgium, Brazil, Canada, China, Denmark, Finland, France, Germany, Greece, Hong Kong, Iceland, Ireland, Italy, Japan, Luxembourg, Mexico, Netherlands, New Zealand, Norway, Portugal, Russian Federation, Singapore, South Africa, Spain, Sweden, Switzerland, Turkey, United Kingdom, USA, European Commission, and the Gulf Cooperation Council)</p> <p><input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No</p>		

b 閣下居住的國家是否已有現行的法律或條例立以制止洗黑錢的活動？

Are you located in a country with established laws/ regulations designed to prevent money laundering?

是 Yes 否 No

c 如上題(b)的答案選擇“是”，閣下是否受到現行的法律或條例所管制？

If the answer to (b) is YES, are you subject to such laws/regulations?

是 Yes 否 No

d 閣下是否就反洗黑錢條例或反恐怖分子籌資活動條例維持著“無罪紀錄”？如否，請另外提交一份詳細的資料。

Have you maintained a “no conviction record” for anti-money laundering or anti-terrorist financing legislation? If no, please provide details on a separate sheet.

是 Yes 否 No

客戶簡簽

Initialized by Client:

b 閣下居住的國家是否已有現行的法律或條例立以制止洗黑錢的活動？

Are you located in a country with established laws/ regulations designed to prevent money laundering?

是 Yes 否 No

c 如上題(b)的答案選擇“是”，閣下是否受到現行的法律或條例所管制？

If the answer to (b) is YES, are you subject to such laws/regulations?

是 Yes 否 No

d 閣下是否就反洗黑錢條例或反恐怖分子籌資活動條例維持著“無罪紀錄”？如否，請另外提交一份詳細的資料。

Have you maintained a “no conviction record” for anti-money laundering or anti-terrorist financing legislation? If no, please provide details on a separate sheet.

是 Yes 否 No

客戶簡簽

Initialized by Client:

iii) 如閣下的業務涉及處理第三者的資產 (如基金經理、股票經紀)，請回答以下的問題。

For client whose business

involves handling third party assets (e.g. fund manager, stockbrokers), please answer the following questions.

a 閣下(包括外國的分行及子公司) 是否已制訂書面政策，並執行內部程序和管理，以打擊洗黑錢的行動？

Do you (including foreign branches and subsidiaries, if any) have established written policies and implemented internal procedures and controls to combat money laundering?

是 Yes 否 No

b 閣下所屬的機構，就舉報可疑的活動和交易是否已確立程序向適當的監控組織報告？

Are there documented procedures of your institution for reporting suspicious activities and transactions to the appropriate authorities?

是 Yes 否 No

c 閣下所屬的機構有否已制訂政策與程序，確保已採用合理方法去取得客戶真正身份的資料，並將有關資料於指定時限內予以保留？

Has your institution established policies and procedures to ensure that reasonable measures are taken to obtain information about the true identity of its customers, and are these records retained for a specified period of time?

是 Yes 否 No

客戶簡簽

Initialized by Client:

a 閣下(包括外國的分行及子公司) 是否已制訂書面政策，並執行內部程序和管理，以打擊洗黑錢的行動？

Do you (including foreign branches and subsidiaries, if any) have established written policies and implemented internal procedures and controls to combat money laundering?

是 Yes 否 No

b 閣下所屬的機構，就舉報可疑的活動和交易是否已確立程序向適當的監控組織報告？

Are there documented procedures of your institution for reporting suspicious activities and transactions to the appropriate authorities?

是 Yes 否 No

c 閣下所屬的機構有否已制訂政策與程序，確保已採用合理方法去取得客戶真正身份的資料，並將有關資料於指定時限內予以保留？

Has your institution established policies and procedures to ensure that reasonable measures are taken to obtain information about the true identity of its customers, and are these records retained for a specified period of time?

是 Yes 否 No

客戶簡簽

Initialized by Client:

6 財務狀況 FINANCIAL PROFILE

a 全年收入
Annual Income

<HK\$100,000
 HK\$100,001 – HK\$200,000
 HK\$200,001 – HK\$500,000
 HK\$500,001 – HK\$1,000,000
 >HK\$1,000,001

b 資產淨值
Net Asset Value

<HK\$100,000
 HK\$100,001 – HK\$200,000
 HK\$200,001 – HK\$500,000
 HK\$500,001 – HK\$1,000,000
 >HK\$1,000,001

c 住屋業權
Ownership of Residence

擁有 owned -
 已抵押 Mortgaged
 沒有抵押 Unmortgaged

沒有 Unowned -
 租住 Rented
 與家人同住 Living with Family

a 全年收入
Annual Income

<HK\$100,001
 HK\$100,001 – HK\$200,000
 HK\$200,001 – HK\$500,000
 HK\$500,001 – HK\$1,000,000
 >HK\$1,000,001

b 資產淨值
Net Asset Value

<HK\$100,000
 HK\$100,001 – HK\$200,000
 HK\$200,001 – HK\$500,000
 HK\$500,001 – HK\$1,000,000
 >HK\$1,000,001

c 住屋業權
Ownership of Residence

擁有 owned -
 已抵押 Mortgaged
 沒有抵押 Unmortgaged

沒有 Unowned -
 租住 Rented
 與家人同住 Living with Family

7 投資經驗 INVESTMENT EXPERIENCE

如屬聯名戶口，需由主要戶口持有人填寫 (For joint account, this section should be completed by the Primary Account Holder)

a 閣下是否擁有投資下列產品的經驗 Do you have the experience of investment in the following products?

- 香港上市股票 HK listed stocks 海外上市股票 Overseas listed stocks
 香港期貨和期權 HK Futures & Options 海外期貨和期權 Overseas Futures & Options
 外匯 Forex 貴金屬 Precious Metals
 沒有 None

b 投資年期

- 沒有 Nil 少於一年 less than 1 years 一至五年 1-5 years 五至十年 5-10 years 十年以上 Over 10 years

c 投資目的 Investment Objective

- c1 短線 Short Term 中線 Medium Term 長線 Long Term
c2 穩定 Stable 資本增長 Capital Gain 對沖 Hedging 投機 Speculation

E. 保證金帳戶問卷調查 MARGIN FINANCING QUESTIONNAIRE

祇適用於保證金帳戶 For Margin Account Only

1 閣下的配偶是否在天行聯合證券擁有保證金帳戶?

Is your spouse a margin client of USSL?

是, 其帳戶名稱為 _____ (帳戶號碼: _____)

Yes. His/Her account name is: _____ (A/C No. _____)

否 No

2 閣下是否個人或與閣下的配偶共同控制任何在天行聯合證券有限公司的公司保證金客戶 35% 或以上的投票權

Are you, either alone or with your spouse, in control of 35% or more of the voting rights of any corporate margin client of United Simsen Securities Limited?

是, 其帳戶名稱為 _____ (帳戶號碼: _____)

Yes. The account name is: _____ (A/C No. _____)

否 No

F. 簽名式樣 SPECIMEN SIGNATURE

個人/主要帳戶持有人簽署式樣 Specimen Signature of Individual/ Primary Joint Account Holder	聯名帳戶第二持有人簽署 Specimen Signature of Secondary Joint Account Holder

G. 客戶確認及承認 CLIENT ACKNOWLEDGEMENT AND CONSENT

戶口開立聲明及資料提供 Declaration of Account Opening and Information Provided

本人/吾等謹此聲明表格上提供之所有資料均為真實正確，本人/吾等並不刻意隱瞞任何重要事實。本人/吾等向貴公司申請開立現金帳戶/保證金帳戶/期貨帳戶*(“該帳戶”)和同意現金客戶協議書/保證金客戶協議書/客戶期貨交易協議條款*(“本協議”)的所有條款，並同意遵守香港聯合交易所有限公司、香港中央結算有限公司及其他監管機構不時修定以規管於該帳戶進行的交易之條例及規則。本人/吾等謹此授權貴公司及此表格提及之銀行相互及向合適第三者查證及交換此表格上之資料和其他關於本人/吾等之資料，以作核實開戶申請及其他用途(如本人/吾等仍為貴公司的客戶)。

I/We hereby declare that the information given in this form is true and correct and that I/we have not willfully withheld any material fact(s). I/We request you to open a Cash Account/ Margin Account/ Futures Account* (the “Account”) and agree to all the terms of the Cash Client Agreement/ Margin Client Agreement/ Client Futures Trading Agreement’s Provisions* (“this Agreement”) and to abide by the Cash Client Agreement/ Margin Client Agreement/ Client Futures Trading Agreement’s Provisions *, the rules and regulations of The Stock Exchange of Hong Kong Limited and Hong Kong Securities clearing Company Limited or any other regulatory body (ies) as amended from time to time governing the transactions in the Account. I/We hereby authorize you to verify and exchange the information contained in this application form and such other information relating to my/our personal particulars between yourselves and such other third parties as you may deem appropriate for the purpose of approving my/our application and for such other purposes as long as I/we shall as a your client.

屬險披露聲明 Risk Disclosure Statement

本人/吾等謹此承認並確定本人/吾等已獲得按照本人/吾等所選擇的語言(英文或中文)的本協議，當中包括但不限於本客戶資料表格、本協議的條款及屬險披露聲明，及本人/吾等已獲邀請細閱該屬險披露聲明、提出問題及徵求獨立意見(如本人/吾等有此意願)。本人/吾等確認本人/吾等已經保留本協議的副本以作備考之用。

I/We hereby acknowledge and confirm that this Agreement, including but not limited to the Account Opening Form, the Terms and Conditions of the Agreement, Data Privacy Policy and the Risk Disclosure Statement was provided to me/us in a language of my/our choice (English or Chinese), and I/we have been invited to read the Risk Disclosure Statement carefully, ask questions and seek independent advice if I/we so wish. I/We also confirm that I/we have retained a copy of this Agreement for my/our reference.

6

聯名帳戶指示安排 Instruction Arrangement For Joint Account (祇適用於聯名帳戶 For Joint Account only)

此帳戶將採用以下揀選的指示方式發出買賣、交收或取消買賣的指令(請在適當的方格打上“√”號)

The Account adopts the following selected way to issue Buy/Sale or Settlement or Cancel Buy/Sale instruction(s) (please tick the appropriate box):

任何一個帳戶持有人的指示 Either one of the account holders;

全部帳戶持有人的指示 All account holders

指定聯名帳中的一位所發出的指示 Designated person of the joint account _____

客戶資料表格、現金客戶協議/保證金客戶協議書/客戶期貨交易協議條款*、屬險披露聲明以英文本為確實及擁有最終效力(相對中文譯本而言)。

The Client Information Statement, Cash Client Agreement/ Margin Client Agreement/ Client Futures Trading Agreement’s Provisions *, Risk

Disclosure Statement in English version shall be deemed to be conclusive and definitive relative to the Chinese version.

*刪去不適用者 Please delete the inapplicable ones

個人/主要帳戶持有人簽署

Signed and acknowledged by Individual/ Primary Joint Account Holder

聯名帳戶第二持有人簽署

Signed and acknowledged by Secondary Joint Account Holder

日期 Date:

日期 Date:

職員/ 客戶主任聲明 **DECLARATION BY STAFF/ ACCOUNT EXECUTIVE**

本人茲聲明已按照客戶所選擇的語言 (英文或中文) 向其提供本協議的副本，當中包括但不限於本客戶資料表格、本協議的條款及屬險披露聲明，及已邀請客戶細閱該屬險聲明提出問題及徵求獨立意見 (如客戶有此意願)。

I hereby declare that I have provided a copy of the Agreement, including but not limited to this Customer Information Statement, the Terms and Conditions of the Agreement and the Risk Disclosure Statement to the Client in a language of their choice (English or Chinese). I have also invited the Client to read the Risk Disclosure Statement, and to ask questions and seek independent advice if the Client so wishes.

(請用正楷填寫 Please complete in block letters)

職員/ 客戶主任簽署

Signature of Staff/ Account Executive :

CE 編號

CE No. :

職員/ 客戶主任姓名

Name of Staff/ Account Executive :

日期

Date :

分行經理/見證人簽署

Signature of Witness/Branch Manager :

日期

Date :

見證人/分行經理姓名

Name of Witness/Branch Manger :

只供本行使用 FOR OFFICIAL USE ONLY

已獲銀行及信貸參考 (例如：銀行結單、屋契等) Bank and Credit Reference obtained (eg. Bank statement, deed of residence etc.) <input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No 取得身份證/ 護照副本 ID Card/ Passport obtained <input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No 取得地址證明副本 Address proof obtained <input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No 取得僱主同意書 (如適用) Employer consent letter obtained (if applicable) <input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No 備註 Remarks :	文件查核 Documents checked by <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;"> 職員姓名 Name of Staff </div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;"> 職員簽署 Signature </div> <div style="border: 1px solid black; padding: 5px;"> 日期 Date </div>
---	--

香港股票 HK Stocks

交易限額及信貸額批核 (祇適用於 30 萬港元或以下, 若高於此金額須另行申請)

Approval of Trading Limit and Credit Limit (Only applicable to HK\$ 300,000 or lower. For greater amount, separate application is required)

信貸額(港元) Credit Limit(HKD) :		分行編號 Branch Code :	
原初交易限額(港元) Initial Trading Limit(HKD) :		經紀回佣 AE Rebate (%) :	
息率 Interest Rate (%) :	P + %	經紀最低佣金 Minimum AE Rebate (HKD) :	
佣金 Brokerage (%)		最低佣金 (HKD) Minimum Brokerage (HKD) :	
			分行經理/高級經理批核 Approved by Branch Manager/Senior Manager

期貨 Futures

	佣金(每手a 單邊計算) Brokerage(Per Lot, Single Side)					
	即日(Day trade)		隔夜(Overnight)		指數期權(Index option)	
	電子盤(Internet)	電話盤(Phone)	電子盤(Internet)	電話盤(Phone)	電子盤(Internet)	電話盤(Phone)
恆生指數期貨 HSI Futures	HKD	HKD	HKD	HKD	HKD	HKD
國企指數期貨 HHI Futures	HKD	HKD	HKD	HKD	HKD	HKD
小型恆生指數期貨 MHI Futures	HKD	HKD	HKD	HKD	HKD	HKD
小型國企指數期貨 MCH Futures	HKD	HKD	HKD	HKD	HKD	HKD
海外期貨 Global Futures	USD	USD	USD	USD	NIL	NIL

海外股票 Overseas Stocks

	佣金 Brokerage (%)	
美股 US Stock		(每宗交易最低 40 美元)
新加坡股 Singapore Stock		(每宗交易最低 40 坡元)
其它 Others		

開戶批核 Account Opening Approval

負責人員姓名 Responsible Officer	批准 Approved By	日期 Date
-------------------------------	-------------------	------------

客戶資料更新 Client information updated by

職員姓名 Name of Staff	職員簽署 Signature	日期 Date
-----------------------	-------------------	------------