



聯合證券有限公司 HEAD & SHOULDERS SECURITIES LIMITED

香港皇后大道中 152 號皇后大道中心 28 樓
28/F, Queen's Road Centre, 152 Queen's Road Central, HK

電話 Tel : (852) 3103 8386

傳真 Fax : (852) 3103 8399

C.E. No. : AFS455

客戶資料表格 (個人 / 聯名保證金證券戶口) CLIENT INFORMATION STATEMENT (INDIVIDUAL/ JOINT MARGIN SECURITIES ACCOUNT)

客戶主任姓名： Name of Account Executive：		帳戶號碼： Account No.：	
客戶主任編號： A E Code：		申請開戶日期： Application Date：	
與客戶主任認識年期： How long known to AE：		帳戶類型： Account Type：	<input type="checkbox"/> 保證金戶口 Margin A/C
介紹人： Introduced By：			<input type="checkbox"/> 個人帳戶 Individual A/C <input type="checkbox"/> 聯名戶口 Joint A/C

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	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) (中文 Chinese) (先寫姓氏 Surname first)	客戶姓名 Customer Name (先生 Mr./ 女士 Ms./ 太太 Mrs./ 小姐 Miss) (英文 English) (中文 Chinese) (先寫姓氏 Surname first)
2	住宅 Residential Address 	住宅 Residential Address
3	通訊地址 Correspondence Address (如與上址不同 If different from above) 	通訊地址 Correspondence Address (如與上址不同 If different from above)
4	電郵地址 Email Address <input type="checkbox"/> 以電郵收取日結單及取代郵寄服務 Email Statement only	
5	香港身份證號碼/ 護照號碼 HKID Card No/ Passport No	香港身份證號碼/ 護照號碼 HKID Card No/ Passport No
6	簽發地點 Place of Issue	簽發地點 Place of Issue
7	住宅電話 Home Phone No	住宅電話 Home Phone No
8	流動電話 Mobile Phone No	流動電話 Mobile Phone No
9	辦公室電話 Office Phone No	辦公室電話 Office Phone No
10	傳真號碼 Facsimile No	傳真號碼 Facsimile No
11	國籍/ 公民身份 Nationality/ Citizenship	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	職業/ 業務性質 Occupation/ Business
2	職位 Job Title	職位 Job Title
3	僱主名稱 Name of Employer	僱主名稱 Name of Employer
4	受僱年期 Years with Employer	受僱年期 Years with Employer
5	辦公室地址 Office Address 	辦公室地址 Office Address

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	<p>閣下是否此帳戶的最終實益擁有人？ Are you the ultimate beneficial owner(s) in relation to the Account?</p> <p><input type="checkbox"/> 是 Yes <input type="checkbox"/> 否，帳戶最終實益擁有人是 (如多於一位，請另紙說明) No, detail of the ultimate beneficial owner is (if more than one, please specify on an additional paper) :</p> <p>姓名 Name: _____ 電話 Phone: _____</p> <p>地址 Address: _____</p> <p>護照/ 身份證號碼 Passport/ ID No.: _____ (簽發地點 Place of issue: _____)</p>					
2	<p>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，請提供閣下僱主的書面同意) Are you the employee, agent or officer of an entity regulated by the SFC? (If yes, please provide your employer's consent letter)</p> <p><input type="checkbox"/> 否 No <input type="checkbox"/> 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: _____</p>					
3	<p>閣下是否有親屬於聯合證券有限公司工作？ Do you have any relatives working in Head & Shoulders Securities Limited?</p> <p><input type="checkbox"/> 否 No <input type="checkbox"/> 是，該職員/ 代理人的姓名： Yes, Name of employee/ agent: _____ 關係： Relationship: _____</p>					
4	<p>閣下是否有關聯保證金客戶組別(*)的相關帳戶於聯合證券有限公司？ Do you have any group of connected margin client (*) related account(s) with Head & Shoulders Securities Limited?</p> <p><input type="checkbox"/> 否 No <input type="checkbox"/> 是，該帳戶姓名： Yes, Name of account: _____ 帳戶號碼： Account No.: _____</p> <p>Notes: (*) "Group of connected margin clients" means:</p> <p>(i) any two or more margin clients who are natural persons (other than spouses) and act on behalf of the same third party where the third party is not a margin client of HSSL but is the beneficial owner of their accounts, or stands to gain the commercial or economic benefit or bear the commercial or economic risk of the transactions in their accounts;</p> <p>(ii) any two or more margin clients who are natural persons (other than spouses) where one acts through the others and is the beneficial owner of the others' accounts, or stands to gain the commercial or economic benefit or bear the commercial or economic risk of the transactions in the others' accounts;</p> <p>(iii) any two or more margin clients that are corporations of which a natural person, either alone or with his spouse, controls 35% or more of their voting rights; or</p> <p>(iv) any two or more margin clients who are financially connected by guarantee arrangements, whereby the financial liabilities of one or more of them are guaranteed by one or more of the others, or their financial liabilities are guaranteed by the same guarantor where the guarantor is not a margin client of HSSL.</p> <p>註釋：(*) "關聯保證金客戶組別"指：</p> <p>(i) 任何兩名或以上屬自然人 (配偶除外) 並代表同一第三方行事的保證金客戶，而該名 第三方並非聯合證券有限公司保證金融資的保證金客戶，但卻是該等保證金客戶的帳戶的 實益擁有人，或將會從該等保證金客戶的帳戶的交易中取得商業或經濟利益或承擔商 業或經濟風險；</p> <p>(ii) 任何兩名或以上屬自然人 (配偶除外) 的保證金客戶，而其中一名保證金客戶透過其 他保證金客戶行事並且是該等其他保證金客戶的帳戶的實益擁有人，或將會從該等其 他保證金客戶的帳戶的交易中取得商業或經濟利益或承擔商業或經濟風險；</p> <p>(iii) 任何兩名或以上屬法團的保證金客戶，而該等法團由一名自然人單獨或與其配偶共同 控制其 35%或以上的表決權；或</p> <p>(iv) 任何兩名或以上藉擔保安排而在財務上有關聯的保證金客戶，而其中一名或以上的保 證金客戶的財務負債由一名或以上的其他保證金客戶擔保，或他們的財務負債由同一 擔保人擔保，而該擔保人並非聯合證券有限公司保證金融資的保證金客戶。</p>					
5	<p>財務狀況 FINANCIAL PROFILE</p> <table style="width: 100%;"> <tr> <td style="width: 50%; vertical-align: top;"> <p>a 估計全年收入 Estimated annual Income</p> <p><input type="checkbox"/> <HK\$200,000 <input type="checkbox"/> HK\$200,001 – HK\$500,000 <input type="checkbox"/> HK\$500,001 – HK\$1,000,000 <input type="checkbox"/> >HK\$1,000,000</p> <p>b 資產淨值 Net Asset Value</p> <p><input type="checkbox"/> <HK\$200,000 <input type="checkbox"/> HK\$200,001 – HK\$500,000 <input type="checkbox"/> HK\$500,001 – HK\$1,000,000 <input type="checkbox"/> >HK\$1,000,000</p> <p>c 住屋業權 Ownership of Residence</p> <p><input type="checkbox"/> 擁有 owned - <input type="checkbox"/> 已抵押 Mortgaged <input type="checkbox"/> 沒有抵押 Not Mortgaged <input type="checkbox"/> 沒有 Not owned – <input type="checkbox"/> 租住 Rented <input type="checkbox"/> 與家人同住 Living with Family</p> </td> <td style="width: 50%; vertical-align: top;"> <p>a 估計全年收入 Estimated annual Income</p> <p><input type="checkbox"/> <HK\$200,000 <input type="checkbox"/> HK\$200,001 – HK\$500,000 <input type="checkbox"/> HK\$500,001 – HK\$1,000,000 <input type="checkbox"/> >HK\$1,000,000</p> <p>b 資產淨值 Net Asset Value</p> <p><input type="checkbox"/> <HK\$200,000 <input type="checkbox"/> HK\$200,001 – HK\$500,000 <input type="checkbox"/> HK\$500,001 – HK\$1,000,000 <input type="checkbox"/> >HK\$1,000,000</p> <p>c 住屋業權 Ownership of Residence</p> <p><input type="checkbox"/> 擁有 owned - <input type="checkbox"/> 已抵押 Mortgaged <input type="checkbox"/> 沒有抵押 Not Mortgaged <input type="checkbox"/> 沒有 Not owned – <input type="checkbox"/> 租住 Rented <input type="checkbox"/> 與家人同住 Living with Family</p> </td> </tr> </table>				<p>a 估計全年收入 Estimated annual Income</p> <p><input type="checkbox"/> <HK\$200,000 <input type="checkbox"/> HK\$200,001 – HK\$500,000 <input type="checkbox"/> HK\$500,001 – HK\$1,000,000 <input type="checkbox"/> >HK\$1,000,000</p> <p>b 資產淨值 Net Asset Value</p> <p><input type="checkbox"/> <HK\$200,000 <input type="checkbox"/> HK\$200,001 – HK\$500,000 <input type="checkbox"/> HK\$500,001 – HK\$1,000,000 <input type="checkbox"/> >HK\$1,000,000</p> <p>c 住屋業權 Ownership of Residence</p> <p><input type="checkbox"/> 擁有 owned - <input type="checkbox"/> 已抵押 Mortgaged <input type="checkbox"/> 沒有抵押 Not Mortgaged <input type="checkbox"/> 沒有 Not owned – <input type="checkbox"/> 租住 Rented <input type="checkbox"/> 與家人同住 Living with Family</p>	<p>a 估計全年收入 Estimated annual Income</p> <p><input type="checkbox"/> <HK\$200,000 <input type="checkbox"/> HK\$200,001 – HK\$500,000 <input type="checkbox"/> HK\$500,001 – HK\$1,000,000 <input type="checkbox"/> >HK\$1,000,000</p> <p>b 資產淨值 Net Asset Value</p> <p><input type="checkbox"/> <HK\$200,000 <input type="checkbox"/> HK\$200,001 – HK\$500,000 <input type="checkbox"/> HK\$500,001 – HK\$1,000,000 <input type="checkbox"/> >HK\$1,000,000</p> <p>c 住屋業權 Ownership of Residence</p> <p><input type="checkbox"/> 擁有 owned - <input type="checkbox"/> 已抵押 Mortgaged <input type="checkbox"/> 沒有抵押 Not Mortgaged <input type="checkbox"/> 沒有 Not owned – <input type="checkbox"/> 租住 Rented <input type="checkbox"/> 與家人同住 Living with Family</p>
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6	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? <div style="display: flex; justify-content: space-between;"> <input type="checkbox"/> 香港上市股票 HK listed stocks <input type="checkbox"/> 海外上市股票 Overseas listed stocks <input type="checkbox"/> 香港期貨和期權 HK Futures & Options </div> <div style="display: flex; justify-content: space-between;"> <input type="checkbox"/> 海外期貨和期權 Overseas Futures & Option <input type="checkbox"/> 外匯 Forex <input type="checkbox"/> 貴金屬 Precious Metals <input type="checkbox"/> 沒有 None </div> b 投資年期 <div style="display: flex; justify-content: space-between;"> <input type="checkbox"/> 沒有 Nil <input type="checkbox"/> 少於一年 less than 1 years <input type="checkbox"/> 一至五年 1-5 years <input type="checkbox"/> 六至十年 6-10 years <input type="checkbox"/> 十年以上 Over 10 years </div> c 投資目的 Investment Objective <div style="display: flex; justify-content: space-between;"> <div style="width: 30%;"> c1 <input type="checkbox"/> 短線 Short Term <input type="checkbox"/> 穩定 Stable </div> <div style="width: 30%;"> <input type="checkbox"/> 中線 Medium Term <input type="checkbox"/> 資本增長 Capital Gain </div> <div style="width: 30%;"> <input type="checkbox"/> 長線 Long Term <input type="checkbox"/> 對沖 Hedging </div> <div style="width: 10%;"> <input type="checkbox"/> 投機 Speculation </div> </div>
7	閣下對衍生產品的認識 Client's knowledge of derivative products. <div style="display: flex;"> <div style="flex: 1;"> a 閣下是否已接受衍生產品的培訓或修讀相關課程？ Do you have any underwent training or attended courses on derivative products? <div style="display: flex; justify-content: space-between;"> <input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No </div> b 閣下是否曾從事與衍生產品有關的工作經驗？ Do you have any working experience related to derivative products? <div style="display: flex; justify-content: space-between;"> <input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No </div> </div> <div style="flex: 1; padding-left: 20px;"> c 閣下是否於過去 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、結構性產品或交易所買賣基金等？ Do you have 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, or Exchange Traded Funds, etc.? <div style="display: flex; justify-content: space-between;"> <input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No </div> </div> </div>

E. 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

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)

此帳戶將以下面已揀選的指示方式發出買賣、交收或取消帳戶的指令 (請在適當的方格打上“√”號)
 The Account can be operated for trading or settlement or can be closed on the instruction of (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
☐ 指定一個帳戶持有人的指示 Designated account holder _____

F. 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保證金帳戶(“該帳戶”) 和同意保證金客戶協議書 (“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之交易之條例及規則。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 Margin Account (the “Account”) and agree to all the terms of the Margin Client Agreement (“this Agreement”) and to abide by the Cash Client Agreement, 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.

本人/吾等知悉及確認常設授權每年需續約一次。為方便起見，客戶已授權聯合證券每年替客戶自動延續上述授權，客戶可提出反對。如果聯合證券未收到客戶書面反對，則表示客戶同意及接受延長常設授權並繼續受其約束。

I/We acknowledge and confirm Standing Authority is required to be renewed annually and the Client has the choice to reject the renewal. If no written objection is received by mail from the Client, it means the Client accepts the extension and to be bounded by the renewed Standing Authority agreement.

風險披露聲明 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、本協議的條款及風險披露聲明，及本人/吾等已獲邀請細閱該風險披露聲明、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.

The Client Information Statement, Margin Client Agreement, Risk Disclosure Statement in English version shall be deemed to be conclusive and definitive relative to the Chinese version.

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
<hr/> 日期 Date:	<hr/> 日期 Date:

Signed by Witness : _____

姓名 Name : _____ 牌照編號 License No: _____ 日期 Date: _____

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、本協議的條款及風險披露聲明，及已邀請客戶細閱該風險聲明提出問題及徵求獨立意見（如客戶有此意願）。

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

Signature of Staff/ Account Executive : _____

姓名 Name : _____ CE 編號 CE No: _____ 日期 Date: _____

文件查核列 Document check list

Bank and Credit Reference obtained (eg. Bank statement, deed of residence etc.)

☐ 是 Yes ☐ 否 No

取得身份證/ 護照副本/公司註冊副本/商業登記副本 I.D Card/ Passport/ CI / BR Copy obtained

☐ 是 Yes ☐ 否 No

取得地址證明副本 Address proof obtained

☐ 是 Yes ☐ 否 No

信貸限額(港元):

Credit Limit(HKD) : _____

佣金

Brokerage (%) : _____

最低佣金 (HKD) :

Minimum Brokerage (HKD): _____

過期息率

Overdue Interest Rate (%) : **P + 6%**

批核:

Approved by: _____

姓名 Name :

日期 Date:

批核:

Approved by: _____

姓名 Name :

日期 Date:

開戶批核 Account Opening Approval

負責人簽署

Signature of Responsible Officer: _____

負責人姓名 Name :

日期 Date:

客戶資料更新

Client information updated by:

職員姓名 Staff Name :

日期 Date: