



北京首通証券香港集團有限公司
Beijing Shoutong Securities Hong Kong Group Limited
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CE No. 中央編號:



Beijing Shoutong Securities Hong Kong Group Limited

北京首通証券香港集團有限公司

CLIENT INFORMATION FORM (Individual or Joint Account)

客戶資料表格（个人或联名帳戶）



CLIENT INFORMATION FORM (Individual or Joint Account)

客戶資料表格 (個人或聯名帳戶)

Account Name

客戶名稱

Account Number

客戶帳號

Application for 申請賬戶為*	Account Type(s)
<input type="checkbox"/> Individual Account 個人賬戶 <input type="checkbox"/> Joint Account 聯名賬戶	<input type="checkbox"/> Cash Account 現金賬戶* <input type="checkbox"/> Margin Account 保證金賬戶*
	<input type="checkbox"/> Online & Mobile Phone Trading Account 網上及手機交易帳戶

I. Personal Particulars 個人資料

Primary Account Holder 主要帳戶持有人		Secondary Account Holder 第二帳戶持有人	
English Name (Mr./Mrs./Ms.) 英文姓名		English Name (Mr./Mrs./Ms.) 英文姓名	
Chinese Name 中文姓名 (先生/太太/小姐)		Chinese Name 中文姓名 (先生/太太/小姐)	
Date of Birth (dd/mm/yy) 出生日期 (日/月/年)		Date of Birth (dd/mm/yy) 出生日期 (日/月/年)	
I.D. Card/ Passport No. 身份證號碼 / 護照號碼		I.D. Card/ Passport No. 身份證號碼 / 護照號碼	
Nationality 國籍		Nationality 國籍	
Relationship with Secondary Account Holder (where applicable) 與第二帳戶持有人之關係 (如適用)			
Occupation 職業	Position 職位	Occupation 職業	Position 職位
Residence Address and Country of Residence 住宅地址及國家		Residence Address and Country of Residence 住宅地址及國家	
Business / Correspondence Address and Country of Residence 商業/通訊地址及國家		Business / Correspondence Address and Country of Residence 商業/通訊地址及國家	
Tel. No. 電話號碼	Fax No. 圖文傳真	Tel. No. 電話號碼	Fax No. 圖文傳真
Email Address 電郵地址		Email Address 電郵地址	
All postal communication including statements of account to be sent to the following address 所有郵寄品包括結算單送往以下地址 [^] <input type="checkbox"/> Residential Address 住宅地址 (If joint account, the residential address of the primary account holder 如聯名帳戶, 主要帳戶持有人的住宅地址) <input type="checkbox"/> Business Address 商業地址 (If joint account, the business address of the primary account holder 如聯名帳戶, 主要帳戶持有人的商業地址) <input type="checkbox"/> Email Address 電郵地址 (If joint account, the business address of the primary account holder 如聯名帳戶, 主要帳戶持有人的電郵地址)			

* Please tick one only 只選其一

[^] Only one type of postal address is allowed for all cases 于所有情況下, 只准許一種郵遞地址類別



II. Identity Declaration 身份声明

1. Are you a person licensed by or registered with the Securities and Futures Commission or employee of such person? If yes, please provide the written consent from your employer.
客户是否证券及期货事务监察委员会持牌或注册人士或该人士之雇员? 如是, 请提供阁下的雇主的书面同意。

☐ No 否 ☐ Yes, please specify 是, 请注明 _____

2. Are you related to any Beijing Shoutong Securities Hong Kong Group Limited's director, employee, or representative?
客户是否与北京首通证券集团有限公司任何董事、雇员或代表有亲属关系?

☐ No 否 ☐ Yes 是, Name of director/ employee/ representative and relationship
董事/雇员/代表之名称及关系

3. Are you, the holder(s) of senior public position(s) e.g. senior government official, political party leader etc or their family? 客户是否担任重要公职, 例如: 政府高官、政党领袖等及其家人?

☐ No 否 ☐ Yes, please specify 是, 请注明 _____

III. Declaration of U.S. Citizenship or Lawful Permanent Resident Status

美国公民或美国合法永久居民身份声明

Are you a US Resident?

客户是否美国公民? ☐ No 否 ☐ Yes 是, TIN No. _____

I.V. Related Margin Account (for Margin account only)

相关保证金账户 (只适用于保证金账户)

1. Is your spouse a margin client of Beijing Shoutong Securities Hong Kong Group Limited? 客户的配偶是否北京首通证券集团有限公司的保证金客户?

☐ No 否 ☐ Yes, Account Name 是, 客户姓名 _____
Account No. 帐户号码 _____

2. Are you, either alone or with your spouse, in control of 35% or more of the voting rights of another margin corporate client of Beijing Shoutong Securities? 客户是否个人或与客户配偶共同控制任何北京首通证券集团有限公司的公司保证金客户 35% 以上的投票权?

☐ No 否 ☐ Yes, Account Name 是, 客户姓名 _____
Account No. 帐户号码 _____

V. Bank Information 银行资料

Unless otherwise instructed by you, all money payable to you are to be credited to the following bank account:
除经客户另行指示外, 须付予客户的款项将会被转入下列银行账户:

Bank Name 银行名称	Bank Account No. 银行帐户号码
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Bank Account Holder's Name (name(s) shown on bank statements and this Form should be matched)
账户持有人名称 (须与客户的银行结单及此表格上的名称相同)

VI. Financial Information/ Investment Objective and Experience 财务资料/投资目标及经验

1. Annual income (HK\$) ☐ <\$100,000 ☐ \$100,000- \$500,000 ☐ \$500,001 - \$1000,000 ☐ >1000,000
每年收入 (港元)

2. Total net worth (HK\$) ☐ <\$100,000 ☐ \$100,000- \$500,000 ☐ \$500,001 - \$1000,000 ☐ >1000,000
资产净值 (港元)

3. Ownership of property/ real estate ☐ No 否 ☐ Yes 是 (e.g. real estate, time deposit 如物业, 定期存款)
拥有资产/物业

☐ with financing 有借贷 ☐ without financing 无借贷

4. Source of funding (√one or more) ☐ Salary 薪金 ☐ Saving 储蓄 ☐ Rent 租金 ☐ Business Profit 业务溢利
资金来源 (可√超过一项) ☐ Dividend / Interest 股息/利息收入
☐ Others (please specify) 其他(请注明) _____

5. Origin of funding (√one or more) ☐ Hong Kong 香港 ☐ Macau 澳门 ☐ China 中国
资金源地 (可√超过一项) ☐ Others (please specify) 其他(请注明) _____

6. Investment Objective ☐ Speculation 投机 ☐ Capital Appreciation 资产增值
投资目标 ☐ Dividend / Interest 股息/利息收入 ☐ Hedging 对冲
☐ Others (please specify) 其他(请注明) _____

7. Investment horizon ☐ Short term (<1 year) 短线(少于1年) ☐ Short to medium term(1-5 years) 中短线(1-5年)
投资年期 ☐ Medium term (6-10 years) 中线(6-10年) ☐ Long Term (>10 years) 长线(>10年)

8. Risk tolerance 承受风险 ☐ Low 低 ☐ Medium 中 ☐ High 高

9. Derivative Product Experience
in past 3 years ☐ 1-5 Trades ☐ Over 5 trades ☐ Nil
过往3年投资衍生产品经验 1-5次交易 超过5次交易 没有



V.I. Financial Information/ Investment Objective and Experience (Cont'd) 財務資料/投資目標及經驗 (繼續)

10. Investment experience 投資經驗	Nil 无	< 1 year 1 年以下	1 to 5 years 1 至 5 年	6 to 10 years 6 至 10 年	> 10 years 10 年以上
Equities 證券	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Derivative Products (e.g. warrants/options/CBBCs) 衍生產品 (例如:窩輪/期權/牛熊證)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Futures 期貨	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Mutual Funds/ Unit Trust 互惠基金/單位信託基金	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Hedge Funds 對沖基金	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Unlisted Structure Products (e.g. ELN/ELI) 非上市結構性產品 (例如:股票掛鈎投資)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Fixed Income Securities (e.g. Bonds) 固定收益證券 (例如:債券)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Others (e.g. Forex/Precious metal) 其他 (例如:外匯交易/貴金屬)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

VII. Customer Declaration 客戶聲明

- ☐ 1. (a) I/We hereby declare that the information contained in this Client Information Form is true, complete and accurate. Beijing Shoutong Securities Hong Kong Group Limited is entitled to rely fully on such information and representations for all purposes, unless Beijing Shoutong Securities Hong Kong Group Limited receives notice in writing of any change. Beijing Shoutong Securities Group Limited is authorized at any time to contact anyone, including your banks, brokers or any credit agency, for the purpose of verifying the information provided on this Client Information Form. A copy of Beijing Shoutong Securities Hong Kong Group Limited's "Circular relating to the Personal Data (Privacy) Ordinance" is available upon request.
本人/吾等謹此聲明本客戶資料表的資料均屬真實、完整及正確。除非北京首通証券集團有限公司收到任何客戶資料改變的書面變更通知,北京首通証券集團有限公司完全可以依靠這些資料及陳述作任何目的。客戶授權北京首通証券香港集團有限公司可在任何時間聯絡任何人,包括客戶的銀行,經紀或任何信貸機構,藉以確定及查証本客戶資料表內的資料。客戶可隨時索閱北京首通証券集團有限公司的"個人資料(私隱)條例的通告"副本。
1. (b) I/We, the undersigned Client, have read and understood the provisions of the attached current version of the Client Agreement of Beijing Shoutong Securities Hong Kong Group Limited ("Agreement") of which this document forms a part.
I/We hereby apply to open the above type of account and agree to be bound by the Agreement (receipt of a Copy whereof is hereby acknowledge by us) including its Standard Terms and Conditions and relevant Schedule(s) and/or Annex(es) as the same may be amended from time to time.
本人/吾等,下述簽署客戶已閱讀過及明白附上的北京首通証券集團有限公司最新版本的客戶協議書("協議")。而本文件乃協議的一部份。本人/吾等現申請開立上述類別的賬戶,並同意接受可不時被修改的協議(謹此聲明吾等已收妥其副本)包括其標準條款及細則及有關的附件及/或附錄所約束。
1. (c) I/We acknowledge and confirm that Beijing Shoutong Securities Hong Kong Group Limited has provided the Agreement and the Risk Disclosure Statements in a language of our choice (English or Chinese) and I/We have been invited to read the Risk Disclosure Statements in or accompanying the Agreement, to ask questions and take independent advice if I/We wish.
本人/吾等北京首通証券集團有限公司已按照本人/吾等選擇的語言(中文或英文)獲提供協議和載或附于協議的風險披露聲明,及已獲邀閱讀該風險披露聲明、提出問題及征求獨立的意見(如本人/吾等有此意願)。
- ☐ 2. I/We acknowledge and confirm that I/We are the ultimate beneficial owner(s) of the account who ultimately responsible for originating the instruction in relation to transaction(s); and stand to gain the commercial or economic benefit of the transaction(s) and/or bear its commercial or economic risk.
本人/吾等謹此承認並確定本人/吾等是賬戶的最終實益擁有人,即最終為所發出與交易有關的指示負責、獲取交易在商業或經濟上的利益及/或承擔其商業或經濟上的風險之人士。
- ☐ 3. (Applicable to Margin Clients only) I/We acknowledge and confirm that I/We have authorized Beijing Shoutong Securities Group Limited to deal with the Securities Collateral in accordance with Clause 24 of Schedule 1 - <Terms for Margin Trading> and the contents of that Clause have been explained to me/us and I/We understand the contents and related risks of that Clause.
(只適用於保證金客戶) 本人/吾等謹此承認並確定本人/吾等已根據附表一<保證金融資買賣條款>第24條授權北京首通証券集團有限公司處置證券抵押品,並且本人/吾等明白就該條款的内容及有關風險。

Primary Account Holder 主要帳戶持有人
Name 名稱: _____
Date 日期: _____

Secondary Account Holder 第二帳戶持有人
Name 名稱: _____
Date 日期: _____



VIII. Witness for account opening by Licensed Employee 持牌雇员的开户见证

I, Beijing Shoutong Securities Hong Kong Group Limited licensed representative, hereby declare and confirm that I have provided the Risk Disclosure Statements in or accompanying the Agreement in a language of the Client's choice (English or Chinese) and invited the Client/Joint Client to read the Risk Disclosure Statements, ask questions and take independent advice if the Client/Joint Client wishes.

本人為北京首通證券集團有限公司的持牌代表，並謹此聲明及確認本人已按照上述客戶/聯名客戶所選擇的語言(中文或英文)提供載或附於該協議書的風險披露聲明及邀請客戶/聯名客戶閱讀該風險披露聲明、提出問題及尋求獨立的意見(如客戶/聯名客戶有此意願)。

The above Client/ Joint Client signature(s) was/were made in my presence 以上客戶/聯名客戶簽署乃本人面前簽立。

Signature of Staff 職員簽署

Name and CE. No. 名稱及中央編號

Date (dd/mm/yyyy) 日期 (日/月/年)

IX. Witness for Postal Account Opening or Account Opening by non-employee of Beijing Shoutong Securities Hong Kong Group Limited

郵遞開戶的見證或非北京首通證券集團有限公司的僱員開戶見證

If you are opening this Account by way of post, or Account opening is not executed in presence of the employee of licensed person or registered person, please arrange for other person registered with SFC, an affiliate of a registered person, a Justice of the Peace, or a professional person such as branch manager of a bank, certified public accountant, lawyer or notary public to witness your signature of this Agreement and sighting of related identity documents by using "Witness for Postal Account Opening or Account Opening by non-employee of Beijing Shoutong Securities Hong Kong Group Limited" section.

如閣下以郵遞方式開戶，或開戶並非在持牌人或註冊人的僱員面前簽立，請安排其他在證監會註冊人、註冊人的聯系人士、太平紳士或專業人士如銀行分行經理、執業會計師、律師或公證人在"郵遞開戶的見證或非北京首通證券集團有限公司的僱員開戶見證"欄中見證閣下簽立本協議及驗證有關身份證明文件。

I, the undersigned witness, hereby certify that I have witnessed the signing of this agreement by the Client and have sighted the related identity documents of the Client.

本人為下述簽署人，茲核證本人見證客戶簽立本協議，並驗證有關客戶身份證明文件。

Signature of Witness 見證人簽署

Name of Witness (BLOCK LETTERS) 見證人姓名 (正楷)

Profession/ Occupation 專業/職業(牌照號碼，如有)

Name of Company 公司名稱

Company Address 公司地址

Date and Company Stamp 日期及公司印章

X. Online Trading Service

☐ Please provide me/us with Internet & Mobile trading service. I/We have read and understand the provisions of the "Terms for On-Line Trading" Agreement as set out in Schedule II and agree to be bound by same.

請為我/我們提供互聯網及手機交易服務。我/我們已經閱讀並明白附表二"網上證券交易條款"之協議，並同意這些條款的約束。

☐ "Infocast" Streaming Real Time Quote 串流實時報價服務 (Monthly Fee 月費 HK\$400)

☐ Mobile Trading will charge HK\$0.2 per quote 手機交易報價每次收費 HK\$0.2

☐ Please send On-Line trading password to the following email 請將網上證券交易密碼發送到以下電郵地址：

For internal use only 只供內部使用：

☐ waived "Infocast" Streaming Real Time Quote 串流實時報價服務 (Monthly Fee 月費 HK\$400)

☐ waived Mobile Trading will charge HK\$0.2 per quote 手機交易報價每次收費 HK\$0.2

Approved by: _____ Name: _____ Checked by: _____ Name: _____



XI. Account Opening Check List 開戶備忘

- ☐ Copy of Identity Documents of Client and Ultimate Beneficial Owner(s)
客戶及最終實益擁有人身份證明文件副本 (香港身份證/護照/當地居民身份證)
- ☐ Copy of Landing Paper 入境紙副本
- ☐ Proof of Address of Client and Ultimate Beneficial Owner(s) within 3 months
客戶及最終實益擁有人近三個月地址證明 (如公用服務單據、政府部門或機構發出的通訊或銀行結單等。)
- ☐ Bank Statement Copy ☐ Copy of recent income/asset proof (for Margin Account)
銀行月結單副本 近期收入/資產證明副本 (保證金客戶)
- ☐ Client Information Form
客戶資料表格
- ☐ Supplemental Agreement for Internet Trading
互聯網證券交易 - 補充協議書
- ☐ A cheque issued by a Hong Kong licensed bank with a sum not less than HKD10,000
在香港持牌銀行開立的賬戶所簽發的支票，該支票需符合數額不得少於 HK\$10,000

For Official Use Only (只供本公司使用)

經紀 / 證券銷售員 AE / Salesperson : _____

認識客戶年期 I have known the Client for: ☐ > 1 year ☐ 1-5 years ☐ > 5 years

介紹模式 Mode of Introduction: ☐ 自薦 Walk-in ☐ 引薦 Referral: _____

☐ 其他 Others: _____

Account Name 戶口姓名: _____

Account Number 戶口號碼: _____

Commission Rate/ Trading Limit/ Credit Limit & Interest (Securities) 佣金/交易限額/信貸限額及利息 (證券)

	Standard Rate	Proposed
Commission Rate 經紀佣金	0.25%, \$100 (min)	
Internet Commission Rate 網上佣金	0.20%, 100 (min)	
Interest Rate (Margin) 信貸利息	P + 4.5%	
Trading Limit 交易限額	HK\$	
Credit Limit 信貸限額	HK\$	

Sign off By:

核查及同意: Reviewed & Concurred By: _____ (Date: _____)

經紀 / 證券銷售員 AE / Salesperson (Name: _____ C.E. No.: _____)

核對: Checked By: _____ (Date: _____)

Compliance (Name: _____)

批核: Approved By: _____ (Date: _____)

負責人員 Responsible Officer (Name: _____ C.E. No.: _____)