



北京首通證券香港集團有限公司

BELJING SHOUTONG SECURITIES HONG KONG GROUP LIMITED

灣仔港灣道 18 號中環廣場 4005 室 Suite 4005, Central Plaza, 18 Harbour Road, WanChai, Hong Kong

電話 Tel: (852) 3899 1333 傳真 Fax: (852) 3899 1388

CE No. 中央编号: BFY017



Beijing Shoutong Securities Hong Kong Group Limited

北京首通證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）



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CLIENT INFORMATION FORM (Individual or Joint Account)

客戶資料表格 (个人或联名帳戶)

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"/> Cash Account 現金賬戶*	<input type="checkbox"/> Online & Mobile Phone Trading Account	
<input type="checkbox"/> Joint Account 聯名賬戶	<input type="checkbox"/> Margin Account 保證金賬戶*	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



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II. Identity Declaration 身份聲明

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.
客戶是否證券及期貨事務監察委員會持牌或註冊人士或該人士之僱員？如是，請提供閣下的雇主的書面同意。

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

2. Are you related to any Beijing Shoutong Securities Hong Kong Group Limited's director, employee, or representative?
客戶是否與北京首通證券香港集團有限公司任何董事、僱員或代表有親屬關係？

☐ No 否 ☐ Yes 是，Name of director/ employee/ representative and relationship
董事/僱員/代表之名稱及關係

3. Are you, the holder(s) of senior public position(s) e.g. senior government official, political party leader etc or their family?
客戶是否擔任重要公職，例如：政府高官、政黨領袖等及其家人？

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

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

美國公民或美國合法永久居民身份聲明

Are you a US Resident?

客戶是否美國公民？ ☐ No 否 ☐ Yes 是，TIN No. _____

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

相關保證金賬戶 (只適用於保證金賬戶)

1. Is your spouse a margin client of Beijing Shoutong Securities Hong Kong Group Limited?
客戶的配偶是否北京首通證券香港集團有限公司的保證金客戶？

☐ No 否 ☐ Yes, Account Name 是，客戶姓名 _____

Account No. 帳戶號碼 _____

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 Hong Kong Group Limited?
客戶是否個人或與客戶的配偶共同控制任何北京首通證券香港集團有限公司的公司保證金客戶 35% 以上的投票權？

☐ No 否 ☐ Yes, Account Name 是，客戶姓名 _____

Account No. 帳戶號碼 _____

V. Bank Information 銀行資料

Unless otherwise instructed by you, all money payable to you are to be credited to the following bank account:
除經客戶另行指示外，須付予客戶的款項將會被轉入下列銀行賬戶：

Bank Name 銀行名稱	Bank Account No. 銀行帳戶號碼
----------------	-------------------------

Bank Account Holder's Name (name(s) shown on bank statements and this Form should be matched)
賬戶持有人名稱 (須與客戶的銀行結單及此表格上的名稱相同)

V.I. Financial Information/ Investment Objective and Experience 財務資料/投資目標及經驗

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
資產淨值 (港元)

3. Ownership of property/ real estate ☐ No 否 ☐ Yes 是 (e.g. real estate, time deposit 如物業，定期存款)
擁有資產/物業

☐ with financing 有借貸 ☐ without financing 無借貸

4. Source of funding (√one or more) ☐ Salary 薪金 ☐ Saving 儲蓄 ☐ Rent 租金 ☐ Business Profit 業務溢利
資金來源 (可√超過一項) ☐ Dividend / Interest 股息/利息收入
☐ Others (please specify) 其他(請注明) _____

5. Origin of funding (√one or more) ☐ Hong Kong 香港 ☐ Macau 澳門 ☐ China 中國
資金來源地 (可√超過一項) ☐ Others (please specify) 其他(請注明) _____

6. Investment Objective
投資目標 ☐ Speculation 投機 ☐ Capital Appreciation 資產增值
☐ Dividend / Interest 股息/利息收入 ☐ Hedging 對沖
☐ Others (please specify) 其他(請注明) _____



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7. Investment horizon 投資年期	<input type="checkbox"/> Short term (<1 year) 短线(少于 1 年)	<input type="checkbox"/> Short to medium term(1-5 years) 中短线(1-5 年)	<input type="checkbox"/> Medium term (6-10 years) 中线(6-10 年)	<input type="checkbox"/> Long Term (>10 years) 长线(>10 年)
8. Risk tolerance 承受風險	<input type="checkbox"/> Low 低	<input type="checkbox"/> Medium 中	<input type="checkbox"/> High 高	
9. Derivative Product Experience in past 3 years 過往 3 年投資衍生產品經驗	<input type="checkbox"/> 1-5 Trades 1-5 次交易	<input type="checkbox"/> Over 5 trades 超過 5 次交易	<input type="checkbox"/> Nil 沒有	



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V.I. Financial Information/ Investment Objective and Experience (Cont'd) 财务资料/投资目标及经验 (继续)					
10. Investment experience 投资经验					
	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 证券	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Derivative Products (e.g. warrants/options/CBBCs) 衍生产品 (例如:窝轮/期权/牛熊证)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Futures 期货	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Mutual Funds/ Unit Trust 互惠基金/单位信托基金	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Hedge Funds 对冲基金	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Unlisted Structure Products (e.g. ELN/ELI) 非上市结构性产品 (例如:股票挂钩投资)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Fixed Income Securities (e.g. Bonds) 固定收益证券 (例如:债券)	<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:外汇交易/贵金属)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

VII. Customer Declaration 客户声明	
<input type="checkbox"/>	<p>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 Hong Kong 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.</p> <p>本人/吾等谨此声明本客户资料表的资料均属真实、完整及正确。除非北京首通证券香港集团有限公司收到任何客户资料改变的书面变更通知,北京首通证券香港集团有限公司完全可以依靠这些资料及陈述作任何目的。客户授权北京首通证券香港集团有限公司可在任何时间联络任何人,包括客户的银行,经纪或任何信贷机构,藉以确定及查证本客户资料表内的资料。客户可随时索阅北京首通证券香港集团有限公司的"个人资料(私隐)条例的通告"副本。</p> <p>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.</p> <p>本人/吾等,下述签署客户,已阅读过及明白附上的北京首通证券香港集团有限公司最新版本的客户协议书("协议")。而本文件乃协议的一部份。本人/吾等现申请开立上述类别的账户,并同意接受可不时被修改的协议(谨此声明吾等已收受其副本)包括其标准条款及细则及有关的附件及/或附录所约束。</p> <p>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.</p> <p>本人/吾等北京首通证券香港集团有限公司已按照本人/吾等选择的语言(中文或英文)获提供协议和载或附于协议的风险披露声明,及已获邀阅读该风险披露声明、提出问题及征求独立的意见(如本人/吾等有此意愿)。</p>
<input type="checkbox"/>	<p>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.</p> <p>本人/吾等谨此承认并确定本人/吾等是账户的最终实益拥有人,即最终为所发出与交易有关的指示负责、获取交易在商业或经济上的利益及/或承担其商业或经济上的风险之人士。</p>
<input type="checkbox"/>	<p>3. (Applicable to Margin Clients only) I/We acknowledge and confirm that I/We have authorized Beijing Shoutong Securities Hong Kong Group Limited to deal with the Securities Collateral in accordance with Clause 24 of Schedule 1</p> <p>- <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.</p> <p>(只适用于保证金客户) 本人/吾等谨此承认并确定本人/吾等已根据附表一<保证金融资买卖条款>第 24 条授权北京首通证券香港集团有限公司处置证券抵押品,并且本人/吾等明白就该条款的内容及有关风险。</p>

Primary Account Holder 主要帐户持有人 Name 名称: _____	Secondary Account Holder 第二帐户持有人 Name 名称: _____
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Date 日期: _____

Date 日期: _____



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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香港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、提出問題及征求獨立的意見(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香港集團有限公司的雇員開戶見證

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雇員面前簽立，請安排其他在证监会註冊人、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香港集團有限公司的雇員開戶見證”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，茲核証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: _____



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XI. Account Opening Check List 开户备忘

- ☐ 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.: _____)