



**永豐金證券(亞洲)有限公司**  
**SinoPac Securities (Asia) Limited**

Exchange Participant of the Stock Exchange of Hong Kong Limited

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**ACCOUNT OPENING FORM**  
**(Securities (Cash/Margin) / Futures) – JOINT ACCOUNT**  
**(CONTINUATION)**  
**開戶表格**  
**(證券(現金/保證金)/期貨) – 聯名帳戶**  
**(附頁)**

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Client Name 客戶姓名：

\_\_\_\_\_

Account No. 客戶帳號：

\_\_\_\_\_

Registered Office : 21st Floor, One Peking, 1 Peking Road, Tsim Sha Tsui, Kowloon, Hong Kong  
註冊辦事處：香港九龍尖沙咀北京道1號21樓  
Tel. 電話：(852) 2586-8288 Fax 傳真：(852) 2586-8300

SinoPac Securities (Asia) Ltd is a licensed corporation for Types 1, 2, 3, 4, 5 and 9 regulated activities under the Securities and Futures Ordinance (CE Number: BIZ502).

永豐金證券(亞洲)有限公司乃一家根據《證券及期貨條例》獲發牌進行第一、二、三、四、五及第九類受規管活動的持牌法團(中央編號：BIZ502)。

**IMPORTANT:** If this Account Opening Form is accompanied by a Chinese version, in the event of any inconsistency, the English version of this Account Opening Form shall prevail.

重要提示：倘若本開戶表格附帶中文版，而與英文版有任何歧異，以英文版為準。

## CLIENT INFORMATION STATEMENT 客戶資料聲明

**IMPORTANT: Please complete this form in block capitals.**

**重要提示：請以正楷填寫本表格**

\_\_\_\_\_ \*Applicant

第 \_\_\_\_\_ \*申請人

\* Please write appropriate number. \* 請填寫適當數字。

v tick as appropriate 請於適當空格填上「v」號

### 1. Personal Details 個人資料

Name (In English) 姓名 (英文)	Name (In Chinese)
(Last Name 姓) _____ (Given Name 名) _____	姓名 (中文) _____
Date of Birth (yy/mm/dd) 出生日期 (西元) (年/月/日)	Place of Birth 出生地點
Sex 性別	ID or Password No. 身份證或護照號碼
Nationality 國籍	Spouse's ID or Password No. 配偶身份證或護照號碼
Marital Status 婚姻狀況	Spouse's Name 配偶姓名

(1) Residential/Permanent Address (For China and Taiwan client) (P.O. Box not acceptable)

住宅地址 / 戶籍地址 (供中國及台灣人士填寫) (不接受郵政信箱)

Owned 自置     Rented 租用     Living with relative 與親戚同住     Company quarters 公司宿舍

Other 其他 (Please specify 請說明)

If property owned, is there a mortgage on the property? 如持有自置物業，物業有否已按揭?     Yes 有     No 沒有

(2) Correspondence Address (P.O. Box not acceptable) (If differ from above)

通訊地址 (不接受郵政信箱) (如與上述不同)

Residential Phone No. 住宅電話	Business Phone No. 公司電話	Mobile Phone No. 手提電話
Email Address 電郵地址	Facsimile No. 傳真	

Education Level 教育程度

Below Secondary 中學以下     Secondary 中學     Tertiary/University or above 大專 / 大學或以上

Employment Status 職業現況 (must choose one 必須選一項)

Employed 受僱     Self-employed 自僱     No employment 非受僱     Student 學生     Retired 退休

Other 其他 (Please specify 請說明)

Name of Employer (or if self-employed, name of Self-Owned Business)

僱主名稱 (若自僱，請填上身為東主的業務名稱)

Occupation 職業	Position 職位	Year(s) employed 任職年期
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Annual business turnover in preceding year (in HK\$) (applicable to self-employed only)

上一年的年度營業額 (港元) (只適用於自僱)

Year

年份

Address of Employer (or if self-employed, address of Self-Owned Business)

僱主地址 (若自僱，請填上身為東主的業務地址)

(P.O. Box not acceptable) (不接受郵政信箱)

Trade Confirmation 交易核實資料書

(choose one only 只可選一項)

(Facsimile Service NOT applicable to Futures Account 期貨帳戶不能選用傳真服務)

- Receive trade confirmation via E-mail 透過電郵索取交易核實資料書
- Receive trade confirmation via Facsimile 透過傳真索取交易核實資料書
- No trade confirmation required 不需要交易核實資料書

Address for Daily / Monthly Statements 寄送日 / 月結單的地址

(choose one only 只可選一項)

(Facsimile Service NOT applicable to Futures Account 期貨帳戶不能選用傳真服務)

- Electronic Services to E-mail Address 經電子服務發送到電郵地址
- Electronic Services to Facsimile Number 經電子服務發送到傳真號碼
- Mailing Services to 郵遞服務寄送到
- Mailing Services only applied to the address specified by the First Account Holder for the Joint Account  
郵遞日 / 月結單只可寄送到聯名帳戶第一持有人所指定的地址

**2. Financial Profile and Anticipated Activities 財務狀況及預期戶口活動**

(if no employment, must describe source of funds 如非受僱，必須填寫資金來源)

Source of origin of funds 資金來源 (choose one or more 可選多項)

- Salary & Commission 薪金及佣金       Business Profit 業務溢利       Rent 租金  
 Dividend/Interest 股息 / 利息       Others 其他 (Please specify 請述明) \_\_\_\_\_

Estimated annual income (in HK\$) 估計年度收入 (港元)

- Less than 少於 200,000       200,001 – 500,000       500,001 – 1,000,000  
 1,000,001 – 2,000,000       2,000,001 – 5,000,000       over 多於 5,000,000

Approximate net value of assets (in HK\$) 概約資產淨值 (港元)

- Less than 少於 500,000       500,001 – 1,000,000       1,000,001 – 3,000,000  
 3,000,001 – 8,000,000       8,000,001 – 40,000,000       over 多於 40,000,000

Anticipated nature of account activities 預期戶口活動性質 (choose one or more 可選多項)

- Listed equities       Listed futures / options       Placement  
 OTC products       Fund       Others (Please specify 請述明) \_\_\_\_\_

Anticipated level of account activities (in HK\$) 預期戶口投資金額 (港元)

- Less than 少於 500,000       500,001 – 1,000,000       1,000,001 – 3,000,000  
 3,000,001 – 8,000,000       8,000,001 – 40,000,000       over 多於 40,000,000

**3. Receiving Bank Account 收款銀行帳戶**

Please provide details of your bank account as the settlement account to which your money will be transferred.

請提供可供轉入 閣下款項的銀行帳戶詳情。

- |  |  |
|--|--|
| (1)  | (2)  |
| Name of Bank 銀行名稱: _____                       | Name of Bank 銀行名稱: _____                       |
| Address 地址: _____                              | Address 地址: _____                              |
| Account Name 帳戶姓名 / 名稱: _____                  | Account Name 帳戶姓名 / 名稱: _____                  |
| Account No. 帳戶號碼: _____                        | Account No. 帳戶號碼: _____                        |
| Account Type (If applicable) 帳戶類別 (如適用): _____ | Account Type (If applicable) 帳戶類別 (如適用): _____ |

**4. Disclosure of Identity 披露身份**

Are you a person, or director or employee of a person, licensed by or registered with Securities and Futures Commission Hong Kong?

閣下是否香港證券及期貨事務監察委員會發牌或註冊人士或該人士之董事或僱員?

- No 否  
 Yes 是 (insert details below 請提供資料)

Name of the licensed or registered person (If applicable) 持牌或註冊人士姓名 / 名稱 (如適用)

(Please attach consent letter from employer 請提供僱主同意書)

Are you a U.S. person?

閣下是否美籍人士?

- No 否  
 Yes 是

Are you holding or will acquire or hold securities and/or futures beneficially owned by or for a U.S. person?

閣下是否現持有又或將會以信託人身份替其他美籍人士買入或持有證券及 / 或期貨?

- No 否  
 Yes 是

**5. Introducer 介紹人 (If applicable 如適用)**

- | Name of Introducer 介紹人姓名 | Address 地址 | Tel No. 聯絡電話 | Relationship with you 與閣下的關係 |
|--------------------------|------------|--------------|------------------------------|
| _____                    | _____      | _____        | _____                        |
| _____                    | _____      | _____        | _____                        |

**6. Other Accounts with SinoPac Securities (Asia) Limited 於永豐金證券 (亞洲) 有限公司的其他帳戶**

Do you have any securities or other account with SinoPac Securities (Asia) Limited or its associates?

閣下是否於永豐金證券 (亞洲) 有限公司或其聯號持有任何證券或其他帳戶?

- No 否  
 Yes 是 (insert details below 請填寫以下資料)

- |                           |   |                     |
|---------------------------|---|---------------------|
| Name of Account 帳戶姓名 / 名稱 | SinoPac Securities (Asia) Limited 永豐金證券 (亞洲) 有限公司 / or its associates (Please Specify) 或其聯號 (請列明) | Account Number 帳戶號碼 |
| _____                     | _____   | _____               |
| _____                     | _____   | _____               |

**7. Declaration of Instruction Originator 指示發出人聲明**

I/We hereby declare that I/we am/are ultimately responsible for originating instructions for the transactions of the Account(s):

本人 / 吾等現聲明本人 / 吾等全權負責發出該帳戶之交易指示:

- Yes 是  
 No 否

Note: A separate Letter of Authorization (See Form 3 of Supplemental Documents) shall be signed by the Account Holder(s) if a non-account holder is to be appointed to operate the Account(s).

註: 如有關帳戶將委任非帳戶持有人管理, 帳戶持有人須簽署另一份授權書 (見補充文件之表格三)。

**8. Declaration of Ownership 擁有權聲明**

I/We hereby declare that I/We am/are the ultimate beneficial owner(s) of the Account(s) 本人 / 吾等現聲明本人 / 吾等為該帳戶之最終受益人:

- Yes 是  
 No, particulars of ultimate beneficial owner(s) are as follows 否, 下列為最終受益人資料:

**(Please provide the certified true copy of ID Card or Passport and Address Proof of all ultimate beneficial owner(s))**

**(請提供所有最終受益人之身份證或護照經認證真確副本及住址證明)**

Name 姓名 / 名稱 \_\_\_\_\_

\* \_\_\_\_\_

Address 地址 \_\_\_\_\_

\* Delete if not applicable 請將不適用者刪去

**9. Declaration of Relationship 關係聲明**

Are you related to any director, officer or employee of SinoPac Securities (Asia) Limited, or its associates, e.g. family member or hold any beneficial interest?

閣下是否與永豐金證券(亞洲)有限公司之任何董事、主管人員或僱員或其聯號有任何關連, 如家庭成員或有任何實益權益?

- No 否  
 Yes 是 (insert details below 請填寫以下資料)

Name 姓名	Position 職位	Relationship 關係
_____	_____	_____
_____	_____	_____

Is your spouse a client of SinoPac Securities (Asia) Limited or its associates?

閣下之配偶是否永豐金證券(亞洲)有限公司或其聯號之客戶?

- N/A 不適用  
 No 否  
 Yes 是 (insert details below 請填寫以下資料)

Name of Account 帳戶姓名 / 名稱	SinoPac Securities (Asia) Limited 永豐金證券(亞洲)有限公司 / or its associates (Please Specify) 或其聯號 (請列明)	Account Number 帳戶號碼
_____	_____	_____
_____	_____	_____

Do you and/or your spouse control 35% or more of the voting rights of any client of SinoPac Securities (Asia) Limited or its associates?

閣下及 / 或閣下之配偶是否控制永豐金證券(亞洲)有限公司或其聯號任何客戶的表決權 35% 或以上?

- No 否  
 Yes 是 (insert details below 請提供資料)

Name of Account 帳戶姓名 / 名稱	SinoPac Securities (Asia) Limited 永豐金證券(亞洲)有限公司 / or its associates (Please Specify) 或其聯號 (請列明)	Account Number 帳戶號碼
_____	_____	_____
_____	_____	_____

**10. Credit Reference 信貸參考 (For Margin Account Only 只適用於保證金帳戶)**

Bank references 銀行參考資料

Name of Bank 銀行名稱	Address 地址	Type of Account 帳戶類別	Account Number 帳戶號碼
_____	_____	_____	_____
_____	_____	_____	_____

Other Broker references 其他經紀商參考資料

Name of Bank 銀行名稱	Address 地址	Type of Account 帳戶類別	Account Number 帳戶號碼
_____	_____	_____	_____
_____	_____	_____	_____

**11. Declaration of Relationship with the First Account Holder for Joint Account 與聯名帳戶第一持有人關係聲明**

\_\_\_\_\_