



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

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)

Client Name 客戶姓名：

Account No. 客戶帳號：

Registered Office : 7th Floor, Lee Garden Three, 1 Sunning Road, Causeway Bay, Hong Kong

註冊辦事處：香港銅鑼灣新寧道一號利園三期七樓

Tel. 電話：(852) 2586-8288 Fax 傳真：(852) 2586-8300

SinoPac Securities (Asia) Ltd is a licensed corporation for Types 1, 2, 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、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。

_____ * Account Holder

第 _____ * 帳戶持有人

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

tick as appropriate 請於適當空格填上「✓」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 (dd/mm/yyyy) 出生日期 (西元) (日/月/年)	Place of Birth 出生地點
_____	_____

Sex 性別	Nationality 國籍	ID or Passport No. 身份證或護照號碼
_____	_____	_____

Marital Status 婚姻狀況	Spouse's Name 配偶姓名	Spouse's ID or Passport No. 配偶身份證或護照號碼
_____	_____	_____

(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 請述明) _____
 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 請述明) _____

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
_____	_____	_____

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)

(NOT applicable to Futures Account 不適用於期貨帳戶)

- 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*

* Despite your choice of not receiving trade confirmation, SinoPac Securities (Asia) Limited may still need to provide you trade confirmations on certain occasions in order to comply with regulatory requirements. In such cases, trade confirmation will be sent to the address you have selected to receive Daily / Monthly Statements.

* 縱使閣下選擇不收取交易核實資料書, 為合乎法規要求, 在某些情況下永豐金證券 (亞洲) 有限公司可能仍需要向閣下提供交易核實資料書。在此等情況下, 交易核實資料書將發送至閣下所選取的收取日 / 月結單的地址。

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

(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 郵遞服務

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

(Subject to a Physical Statement Annual Fee for each Account. Please refer to the fee schedule on the website of SinoPac Securities (Asia) Limited for details. 就每一帳戶須支付實體結單年費, 詳情請瀏覽永豐金證券(亞洲)有限公司網頁內的收費表。)

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 (Please specify) 其他(請註明): _____

Source of Wealth 財富來源 (choose one or more 可選多項)

- Salary 薪金 Business Income 營業收入 Saving 儲蓄
 Inheritance 遺產 Sale of Investments 銷售投資 Sale of Property or Assets 出售物業或資產
 Others (Please specify) 其他(請註明): _____

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): _____

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

Your money in the Joint Account will be transferred to the bank account which is specified by the First Account Holder for the Joint Account and is jointly owned by you and other holders of the Joint Account as the settlement account.

閣下於聯名帳戶中的款項可轉入至聯名帳戶第一持有人指定的由閣下及其他聯名帳戶持有人共同持有的銀行帳戶。

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

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
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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
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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 (please use Form 3 on Page 7 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（請用補充文件第 7 頁之表格三）。

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 _____

* ID/Passport * 身份證 / 護照 _____

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 Broker 經紀商名稱	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 the Joint Account 與聯名帳戶第一持有人關係聲明
