

根據《證券及期貨條例》下的持牌法團(CE 編號 API164)及香港聯合交易所有限公司參與者
 Licensed Corporation under the Securities & Futures Ordinance (CE No. API164) and Exchange
 Participant of the Stock Exchange of Hong Kong Limited

Account No. 帳戶號碼 :
<input type="checkbox"/> Individual 個人帳戶
<input type="checkbox"/> Joint 聯名帳戶

Customer Information Form (Individual/Joint Account)
客戶資料表(個人/聯名戶口)

1					Account Selection 選擇戶口				
Select Account Type : 選擇戶口種類:									
<input type="checkbox"/> Stock Options 股票期權					<input type="checkbox"/> Futures/Index Options 期貨/指數期權				
2		Personal Information 個人資料							
Name of Customer 客戶姓名 Mr.先生 / Mrs.太太 / Miss 小姐*									
English (英文):					Chinese (中文):				
HKID/Passport No. 身份證/護照號碼*			Country of Issue 簽發國家 :		Nationality 國籍 :		Date (DD/MM/YY) & Place of Birth 出生日期及地點 :		
Marital Status 婚姻狀況: <input type="checkbox"/> Married 已婚 <input type="checkbox"/> Single 單身 <input type="checkbox"/> Divorced 離婚 <input type="checkbox"/> Separated 分居									
Residential Address 住宅地址 :									
Residential Phone No. 住宅電話:		E-mail Address 電郵地址:		Mobile Phone No. 手提電話:		WeChat ID 微信號:		Fax No. 傳真號碼:	
Employment 就業情況 : <input type="checkbox"/> Employed 受僱 <input type="checkbox"/> Self-employed 自僱(Pls. provide business nature 請填業務性質) <input type="checkbox"/> Retired 退休人士 <input type="checkbox"/> Student 學生 <input type="checkbox"/> Housewife 家庭主婦 <input type="checkbox"/> Others 其他 (Pls. specify 請註明): _____									
Name of Employer 僱主名稱 :			Occupation/Business nature* 職業/業務性質		Position 職位 :		Years In Occupation 工作年數 :		
Office Address 辦公室地址 :									
Office Phone No. 公司電話 :					Office Fax No. 傳真號碼 :				
Correspondence Address 通訊地址 : <input type="checkbox"/> Residential Address 住宅 <input type="checkbox"/> Office Address 公司 <input type="checkbox"/> Other 其他 _____									
Statements In 結單語言: <input type="checkbox"/> English 英文 <input type="checkbox"/> Chinese 中文			<input type="checkbox"/> Trading Confirmation & Statement to be sent by mail to your Correspondence Address 交易確認文件及結單將以郵遞方式寄發予閣下通訊地址 (Note 注意: If you do not tick the box, trading confirmation & statement to be sent to your designated E-mail address above. 如不作剔選, 閣下之交易確認文件及結單將發送至閣下上列的指定電郵地址)						

Secondary Joint A/C Holder Personal Information (For Joint A/C Only) 聯名帳戶第二持有人個人資料 (聯名帳戶適用)				
Name of Customer 客戶姓名 Mr.先生 / Mrs.太太 / Miss 小姐*				
English 英文 :		Chinese 中文 :		
HKID/Passport No. 身份證/護照號碼*:	Country of Issue 簽發國家:	Nationality 國籍:	Date (DD/MM/YY) & Place of Birth 出生日期及地點 :	
Marital Status 婚姻狀況: <input type="checkbox"/> Married 已婚 <input type="checkbox"/> Single 單身 <input type="checkbox"/> Divorced 離婚 <input type="checkbox"/> Separated 分居				
Residential Address 住宅地址 :				
Residential Phone No. 住宅電話 :	E-mail Address 電郵地址 :	Mobile Phone No. 手提電話:	WeChat ID 微信號:	Fax No. 傳真號碼 :
Employment 就業情況 : <input type="checkbox"/> Employed 受僱 <input type="checkbox"/> Self-employed 自僱(Pls. provide business nature 請填業務性質) <input type="checkbox"/> Retired 退休人士 <input type="checkbox"/> Student 學生 <input type="checkbox"/> Housewife 家庭主婦 <input type="checkbox"/> Others 其他 (Pls. specify 請註明): _____				
Name of Employer 僱主名稱 :	Occupation/ Business nature* 職業/業務性質	Position 職位 :	Years In Occupation 工作年數 :	
Office Address 辦公室地址 :				
Office Phone No. 公司電話 :		Office Fax No. 傳真號碼 :		
3	Bank Reference 銀行參考			
Bank Account Record (For fund deposit only) 銀行帳戶紀錄(只作存款用途)				
Bank Name 銀行名稱 : _____ Account Name 帳戶名稱 : _____				
Account No. 帳戶號碼 : _____ A/C Type 帳戶類別 : <input type="checkbox"/> Saving A/C 儲蓄 <input type="checkbox"/> Current A/C 支票 <input type="checkbox"/> Others 其他				
4	Financial Situation 財政狀況			
Individual/Primary Joint A/C Holder 個人/聯名帳戶主要持有人		Secondary Joint A/C Holder (For Joint A/C Only) 聯名帳戶第二持有人(聯名帳戶適用)		
(A) Liquid Asset 流動資產 : HK\$ _____		(A) Liquid Asset 流動資產 : HK\$ _____		
(B) Net Worth 資產淨值 : HK\$ _____		(B) Net Worth 資產淨值 : HK\$ _____		
(C) Source of Income 收入來源 : <input type="checkbox"/> Salary 薪酬 <input type="checkbox"/> Rent 租金 <input type="checkbox"/> Interest/Dividend 利息/股息 <input type="checkbox"/> Others (Pls. specify) 其他 (請註明) _____		(C) Source of Income 收入來源 : <input type="checkbox"/> Salary 薪酬 <input type="checkbox"/> Rent 租金 <input type="checkbox"/> Interest/Dividend 利息/股息 <input type="checkbox"/> Others (Pls. specify) 其他 (請註明) _____		
(D) Annual Income (Pls. select one) 每年收入 (請選其中一項): <input type="checkbox"/> less than 少於\$200,000 <input type="checkbox"/> \$200,000-\$499,999 <input type="checkbox"/> \$500,000-\$999,999 <input type="checkbox"/> \$1,000,000-\$5,000,000 <input type="checkbox"/> Over 多於\$5,000,000		(D) Annual Income (Pls. select one) 每年收入 (請選其中一項): <input type="checkbox"/> less than 少於\$200,000 <input type="checkbox"/> \$200,000-\$499,999 <input type="checkbox"/> \$500,000-\$999,999 <input type="checkbox"/> \$1,000,000-\$5,000,000 <input type="checkbox"/> Over 多於\$5,000,000		

Investment Objectives and Experience 投資目的及經驗	
5	
Individual/Primary Joint A/C Holder 個人/聯名帳戶主要持有人	Secondary Joint A/C Holder (For Joint A/C Only) 聯名帳戶第二持有人(聯名帳戶適用)
Investment Objectives 投資目的: <input type="checkbox"/> Capital Appreciation 資本增值 <input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Speculation 投機 <input type="checkbox"/> Children's Education 子女升學 <input type="checkbox"/> Other (Pls. specify) 其他 (請註明) _____	Investment Objectives 投資目的: <input type="checkbox"/> Capital Appreciation 資本增值 <input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Speculation 投機 <input type="checkbox"/> Children's Education 子女升學 <input type="checkbox"/> Other (Pls. specify) 其他 (請註明) _____
Investment Experience 投資經驗: (A) <input type="checkbox"/> Shares/Debentures 股票/債券 <input type="checkbox"/> Nil 沒有 <input type="checkbox"/> 1-3 Years(年) <input type="checkbox"/> 3-5 Years(年) <input type="checkbox"/> 5-10 Years (年) <input type="checkbox"/> Over 10 Years(超過十年) (B) <input type="checkbox"/> Equity Options 股票期權 <input type="checkbox"/> Nil 沒有 <input type="checkbox"/> 1-3 Years(年) <input type="checkbox"/> 3-5 Years(年) <input type="checkbox"/> 5-10 Years (年) <input type="checkbox"/> Over 10 Years(超過十年) (C) <input type="checkbox"/> Warrants 認股權證 <input type="checkbox"/> Nil 沒有 <input type="checkbox"/> 1-3 Years(年) <input type="checkbox"/> 3-5 Years(年) <input type="checkbox"/> 5-10 Years (年) <input type="checkbox"/> Over 10 Years(超過十年) (D) <input type="checkbox"/> Mutual Fund/Unit Trust 互惠基金/單位信託基金 <input type="checkbox"/> Nil 沒有 <input type="checkbox"/> 1-3 Years(年) <input type="checkbox"/> 3-5 Years(年) <input type="checkbox"/> 5-10 Years (年) <input type="checkbox"/> Over 10 Years(超過十年) (E) <input type="checkbox"/> Others (Pls. specify) 其他 (請註明)_____ <input type="checkbox"/> Nil 沒有 <input type="checkbox"/> 1-3 Years(年) <input type="checkbox"/> 3-5 Years(年) <input type="checkbox"/> 5-10 Years (年) <input type="checkbox"/> Over 10 Years(超過十年)	Investment Experience 投資經驗: (A) <input type="checkbox"/> Shares/Debentures 股票/債券 <input type="checkbox"/> Nil 沒有 <input type="checkbox"/> 1-3 Years(年) <input type="checkbox"/> 3-5 Years(年) <input type="checkbox"/> 5-10 Years (年) <input type="checkbox"/> Over 10 Years(超過十年) (B) <input type="checkbox"/> Equity Options 股票期權 <input type="checkbox"/> Nil 沒有 <input type="checkbox"/> 1-3 Years(年) <input type="checkbox"/> 3-5 Years(年) <input type="checkbox"/> 5-10 Years (年) <input type="checkbox"/> Over 10 Years(超過十年) (C) <input type="checkbox"/> Warrants 認股權證 <input type="checkbox"/> Nil 沒有 <input type="checkbox"/> 1-3 Years(年) <input type="checkbox"/> 3-5 Years(年) <input type="checkbox"/> 5-10 Years (年) <input type="checkbox"/> Over 10 Years(超過十年) (D) <input type="checkbox"/> Mutual Fund/Unit Trust 互惠基金/單位信託基金 <input type="checkbox"/> Nil 沒有 <input type="checkbox"/> 1-3 Years(年) <input type="checkbox"/> 3-5 Years(年) <input type="checkbox"/> 5-10 Years (年) <input type="checkbox"/> Over 10 Years(超過十年) (E) <input type="checkbox"/> Others (Pls. specify) 其他 (請註明)_____ <input type="checkbox"/> Nil 沒有 <input type="checkbox"/> 1-3 Years(年) <input type="checkbox"/> 3-5 Years(年) <input type="checkbox"/> 5-10 Years (年) <input type="checkbox"/> Over 10 Years(超過十年)
6	Declaration 客戶聲明
<p>(A) Are you the ultimate beneficial owner(s) in relation to the Account? (i.e. are you acting for your own and not for a third party?) 閣下是否此戶口之最終權益擁有人? (即閣下是否為本身而非第三者運作此帳戶?)</p> <p><input type="checkbox"/> Yes. 是。 <input type="checkbox"/> No, details of the ultimate beneficial owner(s) is/are 不是, 帳戶之最終權益擁有人是: Name 姓名: _____ ID/Passport No. 身分證/護照號碼: _____ Country of Issue 簽發國家: _____ Address 地址: _____</p> <p>(B) Are you an employee or director of a Licensed Corporation or Registered Institution registered with the Securities and Futures Commission? 閣下是否證監會註冊持牌法團或註冊機構之僱員或董事?</p> <p><input type="checkbox"/> No. 不是。 <input type="checkbox"/> Yes. 是。 Please provide the name of the Licensed Corporation or Registered Institution. 請提供有關持牌法團或註冊機構名稱: _____</p> <p>(C) Are you an employee of CIS Securities Asset Management Limited? 閣下是否順安證券資產管理有限公司之僱員? <input type="checkbox"/> No. 不是。 <input type="checkbox"/> Yes. 是。</p> <p>(D) Are you the relative of an employee or director of CIS Securities Asset Management Limited? 閣下是否順安證券資產管理有限公司僱員或董事之親屬? <input type="checkbox"/> No. 不是。 <input type="checkbox"/> Yes. 是。 Name of employee 僱員姓名: _____ Relationship 關係: _____</p>	

- (A) For Stock Options Account 開設股票期權戶口
You confirm that (i) you have received, read and understood the provisions of the Options Addendum to the Customer Agreement for Stock Options Contract Trading; (ii) agree to be bound by the Option Addendum to the Customer Agreement for Stock Options Contract trading; and (iii) agree that words and expressions which are defined in the Options Addendum to the Customer Agreement shall have the same meanings when used in this Customer Information Form unless otherwise stated or the context otherwise requires and that in the event of any inconsistency, the provisions of the Options Addendum to the Customer Agreement for Stock Contract trading shall override this Customer Information Form.

你確認(i)已收到、閱讀及明白本公司附上之客戶協議期權帳戶附件；(ii) 同意接受該客戶協議期權帳戶附件所約束；及(iii)同意如「客戶資料表」內之詞彙表達與該現金帳戶協議有任何抵觸，該客戶協議期權帳戶附件將凌駕於「客戶資料表」。

- For Futures/Index Options Account 開設期貨/指數期權戶口

You confirm that (i) you have received, read and understood the provisions of the Commodities Addendum to Cash Account Agreement; (ii) agree to be bound by the Commodities Addendum to Cash Account Agreement and (iii) agree that words and expressions which are defined in the Commodities Addendum to Cash Account Agreement shall have the same meanings when used in this Customer Information Form unless otherwise stated or the context otherwise requires and that in the event of any inconsistency, the provisions of the Commodities Addendum to Cash Account Agreement shall override this Customer Information Form.

你確認(i)已收到、閱讀及明白本公司附上之客戶協議商品交易附件；(ii) 同意接受該客戶協議商品交易附件所約束；及(iii)同意如「客戶資料表」內之詞彙表達與該客戶協議商品交易附件有任何抵觸，該客戶協議商品交易附件將凌駕於「客戶資料表」。

- (B) You represent that the information on the Customer Information Form is true, complete and correct and that the representation in the attached agreement are accurate. CIS Securities Asset Management Limited is entitled to reply fully on such information and representations for all purposes, unless CIS Securities Asset Management Limited receives notice in writing of any change. CIS Securities Asset Management Limited is authorised at any time to contact anyone, including your banks, brokers or any credit agency for purposes of verifying the information provided on this Customer Information Form. Please refer to our Personal Information Collection Statement which is attached as schedule I of the Cash Account Agreement for further information.

你聲明在客戶資料表格內的資料屬真實、完整及正確，而附上的協議一切內容準確。除非順安證券資產管理有限公司接到更改有關聲明內容的書面通知，順安證券資產管理有限公司有權在任何用途上完全依賴這些資料及聲明。順安證券資產管理有限公司有權隨時聯絡任何人，包括本人/吾等之銀行、經紀或任何信貸調查機構，以查證此客戶資料表格內所載之內容。詳情請參閱現金帳戶協議附表 I 的個人資料收集聲明。

- (C) You declare and acknowledge that the Risk Disclosure Statements are provided in a language chosen by you (English or Chinese) and you have invited to read the Risk Disclosure Statements, to ask questions and advice to take independent advice if you wish.

你謹此聲明及確認，已獲提供所選擇的語言(英文或中文)的風險披露聲明。並已獲邀請閱讀該風險披露聲明，提出問題及徵求獨立意見(如有此意願)。

- (D) You confirm that you have received our Company's Securities Fee Schedule.

你確認收妥本公司之股票服務收費表。

- (E) You aware that you shall not settle any trading transaction with third-party's cheques.

你明白不能以第三者支票作交收。

- (F) We intend to use your name, telephone number, email and address for direct marketing securities related products/services but we cannot so use your personal data without your consent. Please sign at the end of this statement to indicate your agreement to such use. Should you find such use of your personal data not acceptable, please indicate your objection before signing by ticking the box below.

我們擬使用你的姓名、電話號碼、電郵及地址以促銷證券相關產品/服務，但我們在未得到你的同意之前不能如此使用你的個人資料。請在本文最後份表示你同意使用你的個人資料。如你不同意，請在以下空格加上「✓」號，然後簽署。

- The customer named objects to the proposed use of his/her personal data in direct marketing.

本人(姓名如下)反對使用個人資料於擬作出的直接促銷

1) _____
Individual/Primary Joint* A/C Holder Signature
(also as specimen)
個人/聯名帳戶主要*持有人簽署
(並作為式樣)

Name 姓名：_____

Date Signed 簽署日期：_____

2) _____
Secondary Joint A/C Holder Signature
(also as specimen)
聯名帳戶第二持有人簽署
(並作為式樣)

Name 姓名：_____

Date Signed 簽署日期：_____

Signing Arrangement for Joint A/C 聯名帳戶簽署安排：

The _____ signature(s) above, of which any _____ will be effective. 所列 _____ 式簽署中，任何 _____ 式簽署有效。

- (G) Witness 見證

Name of Witness 見證人姓名：_____ CE Number 中央編號：_____

Signature of Witness 見證人簽署：_____ Date Signed 簽署日期：_____

- The customer submits this form Without a personal cheque 客戶並無連同個人支票與此表格一併遞交

- The customer submits this form With a personal cheque, cheque number: _____

客戶連同個人支票與此表格一併遞交，支票號碼：_____

I confirm that I have provided the Risk Disclosure Statements in the language of the Customer's choice (English or Chinese) and that I have invited the Customer to read the Risk Disclosure Statements, to ask questions and advice to take independent advice if the customer wishes.

本人確認已按照客戶所選擇的語言(英文或中文)向客戶提供風險披露聲明，及已邀請客戶閱讀該風險披露聲明，提出問題及徵求獨立意見(如客戶有此意願)。

Licensed Staff Name 持牌職員姓名：_____ CE No. 中央編號：_____
(In block letter 以英文大階或中文正階填寫)

Signature of Licensed Staff 持牌職員簽署：_____ Date 日期：_____

Note 注意事項：

- 1 Please provide a copy of valid passport or ID card and proof of residential address (e.g. recent 3 month's water bill, electric bill) with this Customer Information Form.
請隨本客戶資料表附上有效護照或身分證明文件副本，及現居住地址證明(如最近三個月之水費單、電費單)。
- 2 P.O. Box is not accepted as a Correspondence Address.
不接受郵政信箱作為通訊地址。
- 3 Any deletion or amendment must be initialled by all account holders.
任何刪改必須由帳戶持有人簽署作實。
- 4 If this Customer Information Form is not executed in the presence of an employee of CIS Securities Asset Management Limited, customer shall comply with one of the following requirements:
如客戶資料表並非於順安證券資產管理有限公司之僱員面前簽立，客戶必須符合以下其中一項要求：
 - 4.1 Customer should provide a cheque in the amount of not less than HK\$10,000 bearing your name as shown in the ID card or passport and drawn on your account with a licensed bank in Hong Kong with the same signature(s) as shown on this Customer Information Form in favour of CIS Securities Asset Management Limited. Account will not be activated unless the cheque is cleared; or
客戶須提交以其名下於香港註冊銀行開立帳戶所簽發不少於港幣一萬元之支票，支票抬頭為順安證券資產管理有限公司。該支票上須載有客戶於身分證明文件上所顯示之姓名。而有關支票簽署式樣，必須與客戶資料表上之簽署相符。帳戶必須在支票兌現後才可正式使用。
 - 4.2 The signing of this Customer Information Form and sighting of related identity documents should be certified by any other licensed or registered person, an affiliate of us, a Justice of the Peace, or a profession person such as a branch manager of a bank, a certified public accountant, a lawyer or a notary public.
此客戶資料表及有關身分證明文件的見證，須由其他持牌人或註冊人、本公司之聯繫人士、太平紳士、銀行分行經理、執業會計師、律師或公證人加以核證。

For Official Use Only (只供內部使用)

Referee 介紹人:

No. of year(s) known by A/E 與客戶主任相識年期:

A/E Name 客戶主任姓名:

Commission Rate 佣金 : %

Cash Trading Limit 現金交易限額 :

Single Transaction Limit 單項交易限額 :

Document Checked By 文件檢查人員 :

Date 日期 :

Staff Name 職員姓名:

Information Inputted By 資料輸入人員 :

Date 日期 :

Staff Name 職員姓名:

Inputted Verified By 輸入資料覆核人員 :

Date 日期 :

Staff Name 職員姓名:

Account Approved By 開戶批核人員 :

Date 日期 :

Staff Name 職員姓名:

Remark 備註 :