

3. 受僱資料 Employment Information

僱主名稱 Employer:			
業務類型 Business Type:		職位 Position:	
工作地址 Business Address:			

C. 客戶財政資料 Client Financial Information

收入來源 Source of Income:	<input type="checkbox"/> 沒有 Nil	<input type="checkbox"/> 股息/利息 Dividend/Interest	<input type="checkbox"/> 佣金 Commission	<input type="checkbox"/> 租金 Rent
	<input type="checkbox"/> 薪金 Salary	<input type="checkbox"/> 業務溢利 Business Profit	<input type="checkbox"/> 其他 Others:	
每年收入 Annual Income:	<input type="checkbox"/> <HK\$120,000	<input type="checkbox"/> HK\$120,001 - HK\$300,000	<input type="checkbox"/> HK\$300,001 - HK\$500,000	<input type="checkbox"/> HK\$500,001 - HK\$1,000,000
	<input type="checkbox"/> HK\$1,000,001 - HK\$5,000,000	<input type="checkbox"/> HK\$5,000,001 - HK\$10,000,000	<input type="checkbox"/> >HK\$10,000,000	
資產項目 Asset Items:	<input type="checkbox"/> 房產 Properties	<input type="checkbox"/> 證券 Stocks	<input type="checkbox"/> 債券/基金 Bonds/Funds	
	<input type="checkbox"/> 存款 Deposits	<input type="checkbox"/> 其他 Others:		
估計資產淨值 Net Asset Worth:	<input type="checkbox"/> <HK\$500,000	<input type="checkbox"/> HK\$500,001 - HK\$1,000,000	<input type="checkbox"/> HK\$1,000,001 - HK\$3,000,000	<input type="checkbox"/> HK\$3,000,001 - HK\$5,000,000
	<input type="checkbox"/> HK\$5,000,001 - HK\$10,000,000	<input type="checkbox"/> HK\$10,000,001 - HK\$50,000,000	<input type="checkbox"/> >HK\$50,000,000	

D. 客戶投資經驗及目標 Client Investment Experience and Objective

教育程度 Education Level:	<input type="checkbox"/> 小學或以下 Primary or below	<input type="checkbox"/> 中學 Secondary	<input type="checkbox"/> 大學或以上 Tertiary or above
投資經驗 Investment Experience:	<input type="checkbox"/> 少於1年 Less than a year	<input type="checkbox"/> 1-5年 years	<input type="checkbox"/> 6-10年 years
	<input type="checkbox"/> 10年以上 More than 10 years	<input type="checkbox"/> 沒有 Nil	
曾投資的產品 Experienced Products:	<input type="checkbox"/> 證券 Stocks	<input type="checkbox"/> 認股權證 Warrants	<input type="checkbox"/> 期貨/期權 Futures/Options
	<input type="checkbox"/> 債券 Bonds	<input type="checkbox"/> 基金 Funds	<input type="checkbox"/> 外匯/黃金 Forex/Bullion
	<input type="checkbox"/> 沒有 Nil	<input type="checkbox"/> 其他 Others:	
投資目標 Investment Target:	<input type="checkbox"/> 短期(少於3個月) Short Term(<3 months)	<input type="checkbox"/> 中期(3-12個月) Medium Term(3-12 months)	<input type="checkbox"/> 長期(1年以上) Long Term(>1 year)
投資目的 Investment Objective:	<input type="checkbox"/> 資本增值 Capital Appreciation	<input type="checkbox"/> 股息回報 Dividend Yield	<input type="checkbox"/> 對沖 Hedging
	<input type="checkbox"/> 投機 Speculation	<input type="checkbox"/> 其他 Others	
估計投資金額 Estimated Investment Amount:	<input type="checkbox"/> <HK\$100,000	<input type="checkbox"/> HK\$100,001 - HK\$500,000	<input type="checkbox"/> HK\$500,001 - HK\$1,000,000
	<input type="checkbox"/> HK\$1,000,001 - HK\$5,000,000	<input type="checkbox"/> HK\$5,000,001 - HK\$10,000,000	<input type="checkbox"/> >HK\$10,000,000

客戶對結構性或衍生產品有沒有認識? (如客戶對衍生產品沒有認識, 客戶將不能交易衍生產品)

Does the Client have any knowledge on structured or derivative product(s)? (Client will not be allowed to trade derivative products if no related knowledge)

Yes 有 (請繼續回答下列問題 Please continue to answer the following Question) NO 否

本人對衍生產品的認識如下:

My knowledge of derivative products are as followed:

本人已接受有關介紹一般衍生產品之性質及風險的培訓或課程 (例如學術機構或金融機構所提供之課程)

I have been trained or attended courses on derivative products that provide general knowledge of the nature and risk of derivatives (e.g. courses offered by academic or financial institutions)

本人擁有與衍生產品有關之工作經驗 I have working experience related to derivative products

本人有相關之交易經驗, 即本人於過去三年曾執行過五次或以上有關衍生產品之交易

I have relevant trading experience i.e. I have executed five or more transactions in derivative products within the past three years

其他 Other :

E. 客戶聲明 Declaration by Client

閣下是否以中介人身份操作賬戶? Are you acting as an intermediary for the account?

<input type="checkbox"/> 否 No	<input type="checkbox"/> 是 (請詳述) Yes (Please provide details):	賬戶的最終權益擁有人是 If yes, details of the ultimate beneficial owner(s) is/are 名稱 Name: _____ 身份證/護照號碼 ID/Passport No.: _____ 地址 Address: _____
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閣下是否與盛德證券公司或其相關公司之董事或職員有直接親屬關係或關連/聯繫？

Are you an immediate family member or related / connected / associated to director(s) or employee(s) of Prestige Securities Limited or any of its related company?

否
No

是 (請詳述)
Yes (Please
provide details):

職員名稱 Name: _____
關係 Relationship: _____

閣下是否為任何根據證券及期貨條例註冊持牌法團或銀行業條例之註冊機構之僱員 (不管閣下現時是否為證監會持牌代表/金管局註冊人士) ？

Are you an employee of a licensed corporation under the Securities and Futures Ordinance, or a registered institution under the Banking Ordinance (whether you are currently a SFC licensed representative /HKMA registered person or not)?

否
No

是 (請詳述)
Yes (Please
provide details):

持牌法團/註冊機構名稱 Licensed Corporation/Registered Institution Name:
職位 Position:
中央編號 CE No.:(Employer 僱主) _____/(Employee 僱員) _____ (If applicable 如適用)
(必須出示所屬持牌法團或註冊機構之授權信 You must provide written approval from your accredited licensed corporation or registered institution)

閣下是否為美國公民 (持有美國護照) 或美國居民 (持有美國綠卡) ？

Are you a U.S. citizen (e.g. holding U.S. Passport) or U.S. resident alien (e.g. holding U.S. green card)?

否 請填寫W-8BEN 表格。
No Please fill in Form W-8BEN.

是 請填寫W-9 表格。
Yes Please fill in Form W-9.

F. 客戶確認及簽署 Acknowledgement and Execution by Client

假如我們向閣下招攬銷售或建議任何金融產品，該金融產品必須是我們經考慮閣下的財政狀況、投資經驗及投資目標後而認為合理地適合閣下的。本協議的其他條文或任何其他我們可能要求閣下簽署的文件及我們可能要求閣下作出的聲明概不會減損本條款的效力。

If we solicit the sale of or recommend any financial product to you, the financial product must be reasonably suitable for you having regard to your financial situation, investment experience and investment objectives. No other provision of this agreement or any other document we may ask you to sign and no statement we may ask you to make derogates from this clause.

適用於現金賬戶客戶及保證金賬戶客戶 For Cash Account Customer and Margin Account Customer

本人/吾等(在下面簽署的客戶)確認盛德證券有限公司(下稱“盛德”)已按本人/吾等選擇的語言(英文或中文)提供了盛德的客戶綜合協議書(簡稱“該協議書”)及該協議書內風險披露聲明之副本。

本人/吾等(在下面簽署的客戶)謹此聲明在本開戶表格所提供之資料全部為真實、完整及正確，除非盛德接到更改有關本開戶表格內容之書面通知，否則盛德有權完全依賴此等資料及聲明作一切用途。盛德或其代理獲授權可隨時就核對本開戶表格資料事宜，與任何人包括本人/吾等之銀行、經紀或任何信用機構進行諮詢。

本人/吾等(在下面簽署的客戶)現申請開立本人/吾等在本開戶表格頁首選擇之賬戶及服務類別。

本人/吾等確認已閱讀並明白附上之該協議書及有關附表的所有有關條款並且接受及同意受可不時被修改的該協議書及有關附表之條款所約束，本人/吾等在此以書面通知、及確認並授權盛德行使在該協議書內的全部常設授權。

本人/吾等(在下面簽署的客戶)進一步確認盛德已經邀請本人/吾等閱讀該協議書內的風險披露聲明，提出問題及徵求獨立的意見(如本人/吾等有此意願)。

本人/吾等(在下面簽署的客戶)已仔細閱讀、完全理解並同意接受及遵守該協議書內之私隱政策。

I/We, the undersigned client(s) hereby confirm that I/We have been provided the Client Master Agreement (“the Agreement”) of Prestige Securities Limited (“PSL”) and the Risk Disclosure Statement in the Agreement in a language of my/our choice (receipt of a copy whereof is hereby acknowledged by me/us). I/We, the undersigned client(s) hereby confirm and represent that the information on this Account Opening Form is true, complete and correct. PSL is entitled to rely fully on such information and representations for all purposes, unless PSL receives notice in writing of any change. PSL or any of its agents is hereby authorized at any time to contact anyone, including my/our banks or any credit agency, for the purpose of verifying the information provided on this Account Opening Form. I/We, the undersigned client(s) hereby apply to open the types of account(s) and service(s) which I/We choose on the front page of this Account Opening Form and confirm that I/We have read and understand the relevant provisions of the Agreement and all other relevant schedule(s) attached and accept and agree to be bound by the Agreement and all other relevant schedule(s) as the same may be amended from time to time, and I/We hereby give you notice in writing that I/we confirm and authorize PSL to exercise all the powers of the Standing Authorities under the Agreement. I/We, the undersigned client(s) further acknowledge and confirm that I/We have been invited by PSL to read the Risk Disclosure Statement in the Agreement, ask questions and take independent advice, if I/We wish. I/We, the undersigned client(s) have carefully read, fully understood and agreed to accept and be bound by the Data Privacy Policy of the Agreement.

只適用於保證金賬戶客戶 For Margin Account Customer Only

本人/吾等現申請盛德之保證金證券貸款服務，並同意接受該協議書內保證金賬戶之附加條款(下稱“附加條款”)及該協議書及有關附表內的其他條款及其不時的修改所約束。本人/吾等確認本人/吾等已閱讀有關附加條款及其他條款(尤其是其分別的風險披露聲明)。本人/吾等確定已按照本人/吾等選擇的語言提供包含於該協議書內的附加條款及風險披露聲明，並已獲邀閱讀該風險披露聲明、提出問題及徵求獨立的意見(如本人/吾等有此意願)。

本人/吾等謹此承諾及確認本人/吾等已授權盛德根據上述附加條款規定處理本人/吾等的證券及證券抵押品。授權有效期為由協議日期起計不超過12個月，有關授權可根據適用的法律及規則，在(1)協議訂立之年份的最後一天或之前及(2)隨後之每個曆年的最後一天或之前，經本人/吾等同意延續或被視為延續，而每一次延續有效期為12個月。

I / We hereby apply for the Margin Financing Service of PSL and agree to be bound by the Additional Terms for Margin Account in the Agreement (“Additional Terms”) and other Terms and Conditions stated in the Agreement and all other relevant schedule(s) as amended and/or supplemented from time to time. I / We confirm that I / we have read and understood the said Additional Terms and other Terms and Conditions (in particular their respective Risk Disclosure Statements). I / We confirm that the Risk Disclosure Statements and the Additional Terms contained in the Agreement have been provided to me/us in the language of my / our choice, and that I / we have been invited to read the same, to ask questions and to take independent advice (if I / we wish). I / We acknowledge and confirm that I / we have authorized PSL to deal with my / our securities and securities collateral in accordance with the aforesaid Additional Terms. This authority is given for a period of not more than twelve months from the date hereof and may be renewed by my / our consent, or deemed to be renewed, at or before the end of (1) the calendar year of the date hereof and (2) each subsequent calendar year for, in each instance, a further twelve months in accordance with the applicable laws and rules.

此賬戶可根據以下指示方式操作(請在適當空格加☑):

The Account can be operated under the instruction of (please tick the appropriate box):

客戶本人
The client

任何一位賬戶持有人的指示
Either one of the account holder

兩位賬戶持有人的指示
Both account holders

* (簽署式樣將被用作核證任何就賬戶運作之書面指示。)

* (Specimen Signature(s) herein will be used to verify all written instructions given relating to the operation of the Account(s).)

客戶簽署 / 簽署式樣* Client Signature / Specimen Signature* 日期 Date _____
賬戶名稱 A/C Name: _____ 賬戶號碼 A/C No.: _____

客戶簽署 / 簽署式樣* Client Signature / Specimen Signature* 日期 Date _____	(聯名客戶) (Joint)
賬戶名稱 A/C Name: _____ 賬戶號碼 A/C No.: _____	

G. 佣金 / 利息 Commission Rate / Interest

		標準費率 Standard Rate	客戶實際收費 Actual Charge		標準費率 Standard Rate	客戶實際收費 Actual Charge
證券 Securities	電話下單佣金 (港股) Phone Order Commission (HK)	%, \$ (Min)	%, \$ (Min)	電話下單佣金 (美股) Phone Order Commission (US)		%, US\$ (Min)
	經網上交易下單佣金 (港股) Internet Commission (HK)	%, \$ (Min)	%, \$ (Min)	經網上交易下單佣金 (美股) Internet Commission (US)		%, US\$ (Min)
	信貸利息(保證金) Interest Rate (Margin)	%	P + %	經紀佣金(滙深股) Commission Rate (CSC)		%, CNY (Min)

客戶簽署
Signed by Client:

H. 見證客戶簽署及身份證明文件驗證 (如適用) Certification of Client Signature and Identity Proof (if applicable)

若客戶/聯名客戶並非在盛德證券有限公司之指定僱員面前簽立本開戶表格或本開戶表格並非連同恰當的支票*一併遞交，則以下部分應由指定人士，包括其他證監會持牌人或註冊人、太平紳士或專業人士例如銀行分行經理、執業會計師、律師或公證人，簽署驗證。而該指定人士需提供其已簽署之身份證明文件副本及專業資格證明文件之副本。

If this Account Opening Form is not executed in front of Prestige Securities Limited's designated staff or is not submitted with an appropriate cheque*, a specified person, including any SFC licensed or registered person, a Justice of Peace or a professional such as a Branch Manager of a bank, Certified Public Accountant, Lawyer or Notary Public should be required to sign below. The specified person should provide us with self-signed ID copy and copy of the professional qualification documents.

下述簽署人士謹此驗證上述客戶/聯名客戶簽立此文件(連同客戶協議書)及其有關的身份證明文件：The undersigned person hereby certify the signing of this Account Opening Form (together with the Client Agreement) by the above Client(s) and sighting of related identity documents of such Client(s)

*詳情請詢問盛德員工 Please inquire PSL staff for details

日期 Date: _____ 日 DD _____ 月 MM _____ 年 YY

姓名 Name:

簽署及驗證
Signed and Certified by:

所屬專業及職銜 Profession / Title:

聯絡地址
Address:

聯絡電話
Contact No:

I. 職員聲明 Declaration by Staff

本人，以註冊人身份，確認本人已按照上述客戶所選擇的語言提供風險披露聲明之副本及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)。

I, a registered person, declare that I have provided the above client with a copy of the Risk Disclosure Statement in a language of the Client's choice and invited the client to read the Risk Disclosure Statement, ask questions and take independent advice if the client so wishes.

以上客戶簽署乃於本人面前簽立。

The above Client signature(s) was/were made in my presence.

日期 Date: _____ 日 DD _____ 月 MM _____ 年 YY

職員姓名 Name of Staff:

職員簽署
Signed by Staff:

中央編號 CE Number:

向客戶確認 Confirmation with client:

內線 Ext.: _____

時間 Time: _____ 時 HH _____ 分 MM

或 Or
客戶簽署
Signed by Client:

接受及確認 Accepted and Confirmed by:

盛德證券有限公司
Prestige Securities Limited

簽署由

Signed by:

獲授權姓名

Authorized Name: _____

獲授權簽署

Authorized Signature(s): _____

日期 Date: _____ 日 DD _____ 月 MM _____ 年 YY