

## Yuet Sheung International Securities Limited 粵商國際證券有限公司

8-/F. central 88. No. 88-89 Des Voeux Road Central. Central. Hong Kong

香港中環德輔道中88-89號中環88,8樓全層

Exchange Participant of the SEHK 香港聯合交易所有限公司參與者

Licensed Corporation under the SFO with CE No: BEZ371 《證券及期貨條例》下持牌法團中央編號：BEZ371

### CLIENT INFORMATION FORM (Joint) 客戶資料表格 (聯名)

Account Type(s) 帳戶類別	Effective Date 戶口生效日	Name of AE 客戶主任
<input type="checkbox"/> Securities Account (Cash) 證券帳戶 (現金)	Account No. 帳戶號碼	

Please read the Customer Agreement before signing this form

請在簽署本表格前仔細閱讀客戶協定合約

#### 1. Personal Data (Account Holder - 1) 個人資料 (帳戶持有人 - 1)

Name of Client 客戶姓名				
Chinese 中文:			English 英文:	
ID/Passport No. 身份證/護照號碼	Place of issue 簽發地	Nationality 國籍	Date of Birth 出生日期	
Residential Address 住宅地址				
Home Phone No. 住宅電話	Mobile Phone 手提電話	Fax No. 傳真	E-mail Address 電子郵件	
Office Address 辦公地址				
Office Phone No. 辦公電話			Office Fax No. 傳真	
Correspondence 郵寄地址 (Choose one only, all correspondence including Statement of Account are to be sent to 僅選其一，所有通訊包括戶口結算單請寄往)				
<input type="checkbox"/> Res. Add. 住宅地址		<input type="checkbox"/> Office Add. 辦公地址		<input type="checkbox"/> Email 電郵 (推薦)
<input type="checkbox"/> Other 其他:				
Bank Account Record 銀行戶口紀錄 (For fund deposit only 只作入數之用)				
			內地銀行專用	
Currency 貨幣	Name of Bank 銀行名稱	Account No. 帳戶號碼	Swift Code 銀行國際代碼	Branch & sub-branch Add. 分行支行地址
HKD 港幣				
USD 美元				
CNY 人民幣				

## 2. Financial Summary 財務資料簡要

Employer 僱主名稱	Occupation 行業	Position 職位	Years of service 服務年資
Annual Income 每年總收入 (in HKD 以港幣計算)			
<input type="checkbox"/> \$120,000 or less	<input type="checkbox"/> \$120,001 – \$360,000	<input type="checkbox"/> \$360,001 – \$600,000	
<input type="checkbox"/> \$600,001-1,200,000	<input type="checkbox"/> \$1,200,001 or more		
Total net worth (including real estates, cash deposits at Bank, shares, bonds, warrants) 資產淨值 (包括物業、銀行存款、股票、債券、認股權證)			(in HKD 以港幣計算)
<input type="checkbox"/> \$1,000,000 or less	<input type="checkbox"/> \$1,000,001 – \$5,000,000	<input type="checkbox"/> \$5,000,001 or more	
Residence 住屋			
<input type="checkbox"/> Self-owned 自置物業	<input type="checkbox"/> Mortgage 按揭物業	<input type="checkbox"/> Rented 租用物業	
<input type="checkbox"/> Quarters 宿舍	<input type="checkbox"/> Living with Family 與家人同住		
<input type="checkbox"/> Other 其他：			

## 3. Investment Experience and Objectives 投資經驗及目的

Investment Objectives 投資目的			
<input type="checkbox"/> Capital appreciation 資本增值	<input type="checkbox"/> Dividend yield 股息回報		
<input type="checkbox"/> Hedging 對沖	<input type="checkbox"/> Speculation 投機		
<input type="checkbox"/> Other 其他：			
Investment Experience 投資經驗			
<input type="checkbox"/> Nil 沒有	<input type="checkbox"/> Yes 有, Years of Experience 年資 _____		
<input type="checkbox"/> Stocks 證券	<input type="checkbox"/> Warrants 認股權證	<input type="checkbox"/> CBBC 牛熊證	
<input type="checkbox"/> Options 期權	<input type="checkbox"/> Futures 期貨		
<input type="checkbox"/> Other 其他：			

## 4. Client's Knowledge of Derivative Products 客戶對衍生產品的認識

The Client acknowledges and understands Yuet Sheung International Securities will assess whether the Client has adequate knowledge on derivative products according to the information the Client provided.  
客戶知悉及明白粵商國際證券將根據以下的資料以評估客戶是否對衍生工具產品有認識。

Client had undergone training or attended courses related to derivative products.  
客戶曾接受有關衍生產品的培訓或修讀相關課程。

Client has current or past work experience related to derivative products.  
客戶現時或過去擁有與衍生產品有關的工作經驗。

Client has executed 5 or more transactions in derivative products in the past 3 years, e.g. Derivative Warrants, Callable Bull/Bear Contracts, Stock Options, Futures & Options, and Exchange Traded Funds, etc.  
客戶于過去三年內曾執行5次或以上有關衍生產品的交易,例如: 衍生權證、牛熊證、股票期權、期貨及期權、及交易所買賣基金等。

**I/We (the Client) will NOT trade derivative products with and through Yuet Sheung International Securities. However, if I/We (the Client) start trading derivative products with and through Yuet Sheung International Securities, I/We (the Client) acknowledge and accept the risks that may be caused by trading these derivative products and agrees to bear such risks, as well as to take responsibilities involved.**  
本人(客戶)不會在粵商國際證券進行衍生產品買賣交易。如本人(客戶)日後決定通過粵商國際證券進行衍生產品買賣交易,即代表本人(客戶)知悉及接受相關衍生產品所帶來的風險及須承擔風險及責任。

## 5. Personal Data (Account Holder - 2) 個人資料 (帳戶持有人 - 2)

Name of Client 客戶姓名			
Chinese 中文: _____		English 英文: _____	
ID/Passport No. 身份證/護照號碼	Place of issue 簽發地	Nationality 國籍	Date of Birth 出生日期
Residential Address 住宅地址			
Home Phone No. 住宅電話	Mobile Phone 手提電話	Fax No. 傳真	E-mail Address 電子郵件
Office Address 辦公地址			
Office Phone No. 辦公電話		Office Fax No. 傳真	
Correspondence 郵寄地址 (Choose one only, all correspondence including Statement of Account are to be sent to 僅選其一，所有通訊包括戶口結算單請寄往)			
<input type="checkbox"/> Res. Add. 住宅地址	<input type="checkbox"/> Office Add. 辦公地址	<input type="checkbox"/> Email 電郵 (推薦)	
<input type="checkbox"/> Other 其他: _____			

## 6. Financial Summary 財務資料簡要

Employer 雇主名稱	Occupation 行業	Position 職位	Years of service 服務年資
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<input type="checkbox"/> \$600,001-1,200,000	<input type="checkbox"/> \$1,200,001 or more		
Total net worth (including real estates, cash deposits at Bank, shares, bonds, warrants) 資產淨值 (包括物業、銀行存款、股票、債券、認股權證)			(in HKD 以港幣計算)
<input type="checkbox"/> \$1,000,000 or less	<input type="checkbox"/> \$1,000,001 – \$5,000,000	<input type="checkbox"/> \$5,000,001 or more	
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<input type="checkbox"/> Self-owned 自置物業	<input type="checkbox"/> Mortgage 按揭物業	<input type="checkbox"/> Rented 租用物業	
<input type="checkbox"/> Quarters 宿舍	<input type="checkbox"/> Living with Family 與家人同住		
<input type="checkbox"/> Other 其他: _____			

## 7. Investment Experience and Objectives 投資經驗及目的

Investment Objectives 投資目的			
<input type="checkbox"/> Capital appreciation 資本增值	<input type="checkbox"/> Dividend yield 股息回報		
<input type="checkbox"/> Hedging 對沖	<input type="checkbox"/> Speculation 投機		
<input type="checkbox"/> Other 其他: _____			
Investment Experience 投資經驗			
<input type="checkbox"/> Nil 沒有	<input type="checkbox"/> Yes 有, Years of Experience 年資 _____		
<input type="checkbox"/> Stocks 證券	<input type="checkbox"/> Warrants 認股權證	<input type="checkbox"/> CBBC 牛熊證	
<input type="checkbox"/> Options 期權	<input type="checkbox"/> Futures 期貨		
<input type="checkbox"/> Other 其他: _____			

## 8. Client's Knowledge of Derivative Products 客戶對衍生產品的認識

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客戶知悉及明白粵商國際證券將根據以下的資料以評估客戶是否對衍生工具產品有認識。

- Client had undergone training or attended courses related to derivative products.  
客戶曾接受有關衍生產品的培訓或修讀相關課程。
- Client has current or past work experience related to derivative products.  
客戶現時或過去擁有與衍生產品有關的工作經驗。
- Client has executed 5 or more transactions in derivative products in the past 3 years, e.g. Derivative Warrants, Callable Bull/Bear Contracts, Stock Options, Futures & Options, and Exchange Traded Funds, etc.  
客戶于過去三年內曾執行5次或以上有關衍生產品的交易,例如: 衍生權證、牛熊證、股票期權、期貨及期權、及交易所買賣基金等。
- I/We (the Client) will NOT trade derivative products with and through Yuet Sheung International Securities. However, if I/We (the Client) start trading derivative products with and through Yuet Sheung International Securities, I/We (the Client) acknowledge and accept the risks that may be caused by trading these derivative products and agrees to bear such risks, as well as to take responsibilities involved.**  
本人(客戶)不會在粵商國際證券進行衍生產品買賣交易。如本人(客戶)日後決定通過粵商國際證券進行衍生產品買賣交易,即代表本人(客戶)知悉及接受相關衍生產品所帶來的風險及須承擔風險及責任。

## 9. Identity of the ultimate beneficial owner(s) of the Account 帳戶最終權益擁有人的身份

Are you the ultimate beneficial owner(s) of the Account? 閣下是否是此帳戶的最終受益人?

- Yes 是。
- No, detail of the ultimate beneficial owner(s) of the Account is/are:  
不是, 該帳戶最終受益人情況如下:

Name 姓名: \_\_\_\_\_ Telephone 電話: \_\_\_\_\_

ID No./Passport No. (Place of Issue): \_\_\_\_\_

身份證號碼/護照號碼(簽發地): \_\_\_\_\_

Address 地址: \_\_\_\_\_

## 10. Identity of the person(s) ultimately responsible for giving instructions in relation to transactions to be conducted through the Account (Not applicable if it is same as the ultimate beneficial owner(s))

就此帳戶進行交易的最終負責發出指示人士的身份若與帳戶最終權益擁有人相同(則不用填寫此欄)

Name 姓名	_____
Passport No./ID No./Place of Issue 護照/身份證/簽發地	_____
Telephone 電話	_____
Address 地址	_____
	_____

## 11. Disclosure of Identity 相關身份披露

i) Are you, the ultimate beneficial owner(s) of the Account and/or the person ultimately responsible for giving instructions for the Account, a Licensed or registered Person, or a director or an employee of any Licensed or Registered Person of the Securities and Futures Commission in Hong Kong?

閣下，此帳戶最終權益擁有人及/或就此帳戶進行交易的最終負責人士，是否是香港證監會的持牌或註冊人士、或任何持牌法團或註冊機構的董事或職員？

No, 不是。

Yes, 是。

Name of the Licensed or Registered Person:

持牌或註冊人名稱: \_\_\_\_\_

ii) Are you an employee of Yuet Sheung International Securities Limited (“YUET SHEUNG INTERNATIONAL SECURITIES”)?

閣下是否粵商國際證券有限公司之雇員？

No, 不是。

Yes, 是。

iii) Do you have any relationship with the director(s) or employee(s) of YUET SHEUNG INTERNATIONAL SECURITIES?

閣下是否與粵商國際證券之董事或雇員有任何關係？

No, 不是。

Yes, 是。

Employee's Name and Relationship 雇員姓名及關係: \_\_\_\_\_

## 12. FATCA Identity Declaration 美國納稅人身份聲明

iv) Are you a U.S. resident (including U.S. tax resident), U.S. Citizen or holder of U.S. Permanent Resident Card (Green Card)?

閣下是否美國居民（包括需要繳交美國稅項之人士）、美國公民或美國永久居民身份證（綠卡）持有人？

No, 不是。

Yes, 是。

**If answer is YES, please complete the Form W9 and provide your U.S. Tax Identification Number (TIN).**

如果答案為「是」，請填寫表格 W9 並提供閣下于美國國稅局之 TIN 號碼。

**If answer is NO, please answer the following question (v).**

如果答案為「不是」，請回答下列問題(v)。

v) Are you going to trade U.S. Securities or Commodities?

閣下會否買賣美國股票或商品期貨？

No, 不會。

Yes, 會。

**If answer is YES, please complete the form W-8BEN.**

如果答案為「會」，請填寫表格 W-8BEN。

## 13. Client Declaration 客戶聲明

I represent that the information on this Client Information Form is true, complete and correct and that the representations in the attached agreement are accurate. YUET SHEUNG INTERNATIONAL SECURITIES is entitled to rely fully on such information and representations for all purposes, unless it receives notice in writing of any change. YUET SHEUNG INTERNATIONAL SECURITIES is authorized at any time to contact anyone, including client's banks, brokers or any credit agency, for the purpose of verifying the information provided on this Client Information Form.

本人在此聲明在客戶資料表格所提供的資料全部為真實、完整和正確，以及附上的協議中的陳述均屬準確。除非粵商國際證券接到更改有關本資料表格內容的書面通知，否則粵商國際證券可完全依賴這些資料及陳述做一切用途。客戶授權粵商國際證券可隨時聯絡任何人包括客戶的銀行、經紀或任何信貸機構等，核實本資料表內的資料及陳述。

I, the undersigned Client(s), agrees to open the Securities Account with YUET SHEUNG INTERNATIONAL SECURITIES upon and subject to this Client Information Form, the relevant Sections of the “Customer Agreement” and all the provisions of the rules and guidelines promulgated by YUET SHEUNG INTERNATIONAL SECURITIES from time to time (collectively referred to as “All Those Terms”). All Those Terms have been published at YUET SHEUNG INTERNATIONAL SECURITIES website.

The undersigned Client(s) has already been advised by YUET SHEUNG INTERNATIONAL SECURITIES to seek independent

legal advice for All Those Terms if necessary.

本人，下述簽署客戶，同意遵守此開戶表格、《客戶協定合約》之相關章數的所有條款及條件及其他由粵商國際證券不時發出之守則及指引內之所有條款及條件(統稱“該等條款”)開立證券帳戶，而該等條款亦已刊載于粵商國際證券網址上。粵商國際證券已經建議客戶對上述之該等條款尋求獨立法律意見(如有需要)。

**Client's Signature 客戶簽署**

Account Holder -1

Name 姓名 \_\_\_\_\_

Date signed 簽署日期 \_\_\_\_\_

Account Holder - 2

Name 姓名 \_\_\_\_\_

Date signed 簽署日期 \_\_\_\_\_

Name of Witness 見證人名稱 \_\_\_\_\_

Signature of Witness 見證人簽署 \_\_\_\_\_

**14. Specimen Signature(s) 簽署式樣**

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

簽署式樣將被用作核證任何就帳戶運作之書面指示。

**Client's Signature 客戶簽署**

Account Holder -1

Name 姓名 \_\_\_\_\_

Date signed 簽署日期 \_\_\_\_\_

Account Holder -2

Name 姓名 \_\_\_\_\_

Date signed 簽署日期 \_\_\_\_\_

In case Joint Account signing instruction: 如屬聯名戶口，簽名指示為:

- Any one of the signature is required to sign singly 上述任何一位人士單獨簽署
- Two of the above signatures are required to sign jointly 兩位人士聯合簽署

**Notice: This Client Information Form should be accompanied by 注意：本客戶資料表需附上**

1. Copy of valid passport or ID Card.  
有效護照或身份證檔副本。
2. Current Residential Address proof (e.g. Recent 3 month's Water Bill, Bank Statement)  
現居住地址證明，如最近3個月的水電費單、銀行結單。
3. Bank account information (e.g. Bank Name & A/C No.)  
銀行資料副本 (如銀行名稱及號碼)

15. Declaration by Licensed Representative / Staff 持牌代表 / 職員聲明

I, a Licensed Representative/Staff of YUET SHEUNG INTERNATIONAL SECURITIES, declare that I have explained the "Risk Disclosure Statement" in a language of the Client's choice (Chinese/English) and have also invited and suggested the Client to ask questions and take independent advice, if the client so wishes.

本人為粵商國際證券的持牌代表/職員，並謹此聲明及確認本人已按照上述客戶所選擇的語言(中文或英文) 解釋  
 《風險披露聲明》

並邀請及建議客戶就其內容和細則提出問題及可徵求獨立的意見(如客戶有此意願)。

Signed by Licensed Representative / Staff  
持牌代表/職員簽署

Name of Licensed Representative / Staff  
持牌代表/職員姓名

---

Date  
日期

---

CE. Number  
中央編號

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16. Acceptance and Signature of YUET SHEUNG INTERNATIONAL SECURITIES 粵商國際證券接納及簽署

Authorized Signature 授權代表簽署	Company Chop 公司印章

**(Internal Usage 內部專用)**

<input type="checkbox"/> Securities Account (Cash) 證券帳戶 (現金)	
A/C Number 帳戶號碼 _____	A/C introduced by 介紹人 _____
A/E Code 經紀號碼 _____	A/E Name 經紀姓名 _____
Brokerage 傭金 _____	Minimum Charges 最低收費 _____
Interest Rate 息率 _____	Additional Info. 其他資料 _____
Cash Trade Limit 現金買賣限額 _____	Single Transaction Limit 單項交易限額 _____
Accumulate Trade Limit 累積交易限額 _____	Specimen Scanned Date 簽名素描日期 _____
Input Date 資料登錄日期 _____	Signature 簽署 _____
Password Date 密碼日期 _____	Signature 簽署 _____
Data Checked Date 資料查核日期 _____	Signature 簽署 _____
Approved Date 批准日期 _____	Signature 簽署 _____
Document Control Date (remarks) 檔案覆核日期 _____	