

# CLIENT INFORMATION STATEMENT

## 客戶資料表格

(INDIVIDUAL 個人 / JOINT 聯名)



Account name 戶口名稱

Account No. 戶口號碼

Part 1  
第一部份

### Primary Applicant Particulars 第一申請人資料

\* Delete as applicable 刪去不適用者

as appropriate 適用請

#### Personal Information 個人資料

Client Name Last Name:  Given Name:  客戶中文姓名:

Date of Birth 出生日期  D日  M月  Y年 Sex 性別  Male 男  Female 女

Marital Status 婚姻狀況  Single 未婚  Married 已婚  Others 其他

HKID No.(or Passport No.and country of issue) 身份證或護照號碼  Nationality 國籍

Residential Address

住宅地址 Room/Flat 室 Floor 層 Block 座 House 樓 Building/Estate 大廈/屋村

No. and name of street 門牌號數及街道名稱 District 地區

Owned 擁有 Approx. net value (less mortgage) of property 估值 (扣除按揭): HK\$

Rented 租用  Living with Relative 與親戚同住

Name of Employer (or if self employed, name of Business) 僱主名稱(若自僱, 請填業務名稱)

My current employer is registered with the Securities and Futures Commission in Hong Kong 我現任僱主是否於香港的證券及期貨監察會註冊  No 否  Yes, I enclose my current employer's consent with the application

是, 我會附上現任僱主的同意書

Work or Business address 工作或商業地址

Occupation (or type of Business) 職業或業務性質 Year(s) Employed 任職年期 Position 職位

Residential Phone No. 住宅電話 Business Phone No. 公司電話 Facsimile No. 傳真號碼 Mobile Phone No. 手提電話

E-mail Address 電子郵箱

Address for correspondence and forwarding of confirmations and statements 單據及確認往來地址

Residential Address 住宅地址  E-mail Address 電子郵箱 (Internet Account Only 只限網上戶口)

Business Address 公司地址  SMS 手機短訊  (Internet Account Only 只限網上戶口)

Others (specify) 其他 (請註明)

Approximate net value of my assets (in HK\$) (not including place on residence, motor vehicles, furniture, personal belongings and any life insurance policies): 淨資產 (以港幣計) (不包括居住地方、汽車、傢俬、個人物品及人壽保險)

less than 少於 \$200,000  \$200,000 - \$500,000  \$500,000 - \$1,000,000

\$1,000,000 - \$5,000,000  \$5,000,000 - \$10,000,000  over 多於 \$10,000,000  Negative 負資產

Other Brokerage or Dealer references (including address, type of account (eg. cash or margin and nature of securities) and account number): 其他經紀或交易商提述 (包括地址、戶口類別 (現金或按金及證券性質) 及戶口號碼)

Name of Broker 經紀名稱 Address 地址 Type of Account 戶口類別 Account Number 戶口號碼

## Investment Objectives and Experience 投資目的及經驗

Investment Objectives 投資目的

Capital Investment and Income 資本投資及收入  Hedging 對沖  Speculation 投機  Others (specify) 其他

Investment Experience 投資經驗

Years

Average Portfolio Value (HK\$)

年份

平均價值(以港幣計)

<input type="checkbox"/> Debentures or Other Securities 股票、債券及其他證券	<input type="text"/>	<input type="text"/>
<input type="checkbox"/> Leveraged Foreign Exchange 槓桿外匯	<input type="text"/>	<input type="text"/>
<input type="checkbox"/> Precious Metals 貴重金屬	<input type="text"/>	<input type="text"/>
<input type="checkbox"/> Futures / Options 期貨/期權	<input type="text"/>	<input type="text"/>
<input type="checkbox"/> Derivatives Products 衍生產品	<input type="text"/>	<input type="text"/>
<input type="checkbox"/> Others : (specify) 其他 (請註明)	<input type="text"/>	<input type="text"/>
Other Relevant Investment Experience 其他有關投資經驗	<input type="text"/>	

## Other Accounts 其他戶口

Particulars of any and all other accounts (whether individual, joint, corporate, trustee) beneficially held, owned or operated by me for or on my behalf or for any another person(s), body or corporation or in which I have an interest (whether direct or indirect) with South China Financial Holdings Limited or any of its subsidiaries or associated companies. 其他戶口詳情(無論個人、聯名、公司、託管), 本人或本人代表他人、公司、有直接或間接利益在南華金融控股有限公司及其附屬或聯營公司由本公司實益持有、擁有或運作。

Account Name 戶口名稱  Account Number 戶口號碼

Part 2  
第二部份

## Secondary Applicant Particulars 第二申請人資料 For Joint Account Only 只適用於聯名戶口

### Personal Information 個人資料

Client Name Last Name:  Given Name:  客戶中文姓名:

Date of Birth 出生日期  D日  M月  Y年 Sex 性別  Male 男  Female 女

Marital Status 婚姻狀況  Single 未婚  Married 已婚  Others 其他

HKID No.(or Passport No.and country of issue) 身份證或護照號碼  Nationality 國籍

Residential address

住宅地址 Room/Flat 室 Floor 層 Block 座 House 樓 Building/Estate 大廈/屋村

No. and name of street 門牌號數及街道名稱  District 地區

Owned 擁有 Approx. net value (less mortgage) of property 估值(扣除按揭): HK\$

Rented 租用  Living with Relative 與親戚同住

Name of Employer (or if self employed, name of Business) 僱主名稱(若自僱, 請填業務名稱)

My current employer is registered with the Securities and Futures Commission in Hong Kong 我現任僱主是否於香港的證券及期貨監察會註冊  No 否  Yes, I enclose my current employer's consent with the application 是, 我會附上現任僱主的同意書

Work or Business address 工作或商業地址

Occupation (or type of Business) 職業或業務性質  Year(s) Employed 任職年期  Position 職位

Residential Phone No.  Business Phone No.  Facsimile No.  Mobile Phone No.

住宅電話 公司電話 傳真號碼 手提電話

E-mail Address 電子郵箱

### Financial Background 財務狀況

Estimated annual income (in HK\$) 估計年薪 (以港幣計):

less than 少於 \$200,000  \$200,000 - \$500,000  \$500,000 - \$1,000,000  
 \$1,000,000 - \$5,000,000  \$5,000,000 - \$10,000,000  over 多於 \$10,000,000

Approximate net value of my assets (in HK\$) (not including place on residence, motor vehicles, furniture, personal belongings and any life insurance policies): 淨資產 (以港幣計) (不包括居住地方、汽車、傢俬、個人物品及人壽保險)

less than 少於 \$200,000  \$200,000 - \$500,000  \$500,000 - \$1,000,000  
 \$1,000,000 - \$5,000,000  \$5,000,000 - \$10,000,000  over 多於 \$10,000,000  Negative 負資產

### Credit Reference 信貸參考

Bank references (including address, type of account and account number) 銀行提述 (包括地址、戶口類別及號碼)

Name of Bank 銀行名稱  Address 地址  Type of Account 戶口類別  Account Number 戶口號碼

Other Brokerage or Dealer references (including address, type of account (eg. cash or margin and nature of securities) and account number): 其他經紀或交易商提述 (包括地址、戶口類別(現金或按金及證券性質)及戶口號碼)

Name of Broker 經紀名稱  Address 地址  Type of Account 戶口類別  Account Number 戶口號碼

## Investment Objectives and Experience 投資目的及經驗

Investment Objectives 投資目的

Capital Investment and Income 資本投資及收入  Hedging 對沖  Speculation 投機  Others (specify) 其他

Investment Experience 投資經驗

Years  
年份

Average Portfolio Value  
(HK\$)平均價值(以港幣計)

Debentures or other Securities 股票、債券及其他證券

Leveraged Foreign Exchange 槓桿外匯

Precious Metals 貴重金屬

Futures / Options 期貨/期權

Derivatives Products 衍生產品

Others : (specify) 其他 (請註明)

Other relevant investment experience 其他有關投資經驗

## Other Accounts 其他戶口

Particulars of any and all other accounts (whether individual, joint, corporate, trustee) beneficially held, owned or operated by me for or on my behalf or for any another person(s), body or corporation or in which I have an interest (whether direct or indirect) with South China Financial Holdings Limited or any of its subsidiaries or associated companies. 其他戶口詳情(無論個人、聯名、公司、託管)，本人或本人代表他人、公司、有直接或間接利益在南華金融控股有限公司及其附屬或聯營公司由本公司實益持有、擁有或運作。

Account Name 戶口名稱

Account Number 戶口號碼

Part 3  
第三部份

## Joint Account 聯名戶口

Where the account consists of more than one individual, each of the individuals hereby declares that the account is a joint account with right of survivorship.

若戶口由多個持有人組成，各持有人現聲明該戶口是聯名戶口享有生存者之權利。

Client's Signature 客戶簽署

Primary Applicant 第一申請人

Secondary Applicant 第二申請人

## Trading Authorization 交易授權

Will the account be traded by other person(s) on my behalf?  Yes 是  No 否  Any one of us 吾等任何一人  
戶口會否授權第三者交易? For Joint Account Only 只適用於聯名戶口

If yes, please furnish signed Trading Authorization 若會，請提交交易授權書

Client's relationship to authorized representative 客戶與授權人關係:

Part 4  
第四部份

## Declaration 聲明書

I hereby declare that I am the ultimate beneficial owner(s) of the account. 本人現宣佈本人是該戶口最終實際受益擁有人。  
If not, please state the full name of the actual beneficiary(ies) 若否，請列明實際受益人

I confirm that I am not related to any of your directors, officers or employees.

本人確認與貴公司任何董事，主任及職員無任何關連 If related, please state 若有關連，請列明

Name 姓名	Company 公司	Relationship 關係

I confirm that I am not an employee or consultant of a member of the Hong Kong Exchange / Licensed Dealer or Trader.\*  
本人確認本人不是香港交易所會員 / 持牌買賣商之職員或顧問\* If yes, please state 若是，請列明:

Category 類別	Name of Member/ Trader 會員 / 買賣商名稱	Registration No. 註冊編號	Status 身份
Hong Kong Exchange 香港交易所			
Licensed Dealer / Trader 持牌買賣商			

I confirm that I am not a senior officer / director or in control of company listed on any exchange / market.\*

本人確認本人不是任何其股份可在交易所 / 市場的公司之高級職員 / 董事\*。 If yes, please state 若是，請列明:

Position 職位	Company Name 公司名稱

### CLIENT'S DECLARATION 客戶聲明書

I represent that the contents and information provided by me in this Client Information Statement are true, complete and correct and that the representations made by me herein are accurate. You may or are entitled to rely entirely upon such contents information and representations for all purpose, unless you receive notice in writing from me of any change thereof. I hereby undertake to notify you in writing forthwith upon any material change(s) in the information provided herein.

除非接到更改有關聲明內容的書面通知，否則 閣下有權在任何用途上完全依賴這些資料及聲明，本人承諾以書面通知閣下，若此資料有任何修改。

You are further and hereby authorized at any time to contact any person or persons, including my/our banks, brokers, advisers or any credit agency, for or relating to the purpose of verifying the information provided by me in this Client Information Statement.

閣下現被授權在任何時間接觸任何人(等)包括本人往來銀行、經紀、顧問或任何信貸機構，核實本人在客戶資料表格中在所提供有關資料。

Print Full Name of Primary Applicant 第一申請人

Date 日期

Client's Signature 客戶簽署

Print Full Name of Secondary Applicant 第二申請人

Date 日期

Client's Signature 客戶簽署

## FOREIGN EXCHANGE TRADING ACCOUNT 外匯交易帳戶

I/We hereby also confirm my/our request for opening a Foreign Exchange Trading Account and I/we have been invited to read the Foreign Exchange Trading Agreement and the terms and conditions posted on the STrade.com website in a language I/we prefer and I/we fully understand and agree to be bound by the Agreement. I/We also have been invited to ask questions and take independent advice if I/we wish.

本人/吾等並確認開設一個外匯交易帳戶。本人/吾等已被邀請按照本人/吾等所選擇的語言閱讀此外匯交易協議書的內容、條款及刊載於南華互動金融網址內的協議、條款，本人/吾等完全理解並同意履行及遵守該協議書內之條款。本人/吾等已被邀請如本人/吾等有任何意願可提出及徵求獨立意見。

Date 日期

Client's Signature 客戶簽署

## Acknowledgement by Client 客戶之確認

The Client confirms that the following relevant risk disclosure statement(s) (as indicated below) was/were provided in a language of the Clients choice; and the Client was invited to read the risk disclosure statement, to ask question and take independent advice if the Client wishes.

客戶証實以客戶選擇之語言的而在下面列明之有關風險披露聲明書已被提供；客戶邀請閱讀，提出問題及徵求獨立的意見如客戶有此意願。

Type of Risk Disclosure Statement 風險披露聲明書	Client's signature 客戶簽署	
	Primary Applicant 第一申請人	Secondary Applicant 第二申請人
Risk of foreign exchange trading as set out in clause 16.1 of the South China Forex Trading Agreement 外匯交易的風險在本南華外匯交易協議16.1條列明	Date 日期: / /20__	Date 日期: / /20__
Risk of margin trading as set out in clause 16.4 of the South China Forex Trading Agreement 保證金買賣的風險在南華外匯交易協議16.4條列明	Date 日期: / /20__	Date 日期: / /20__
Risk of electronic forex trading as set out in clause 16.5&16.6 of the South China Forex Trading Agreement 電子外匯交易的風險在南華外匯交易協議16.5和16.6條列明	Date 日期: / /20__	Date 日期: / /20__

## Part 5 第五部份

Witness Name 見證人姓名  Occupation 職業   
Address 地址

If signed outside of Hong Kong, signing of this Agreement should be witnessed by a duly appointed Notary Public, solicitor or other competent person. 如於香港以外地方簽署，須由正式任命的公證人、律師或其他相關能力人士見證簽署。

Witness Signature 見證人簽署

Date 日期

## Declaration by Licensed Person 持牌人士聲明書

I,  have invited the applicant(s) to read the contents of the South China Forex Trading Agreement in a language which he/they understand(s) and prefer(s). I have also invited the applicant(s) to ask questions and take independent advice if he/they wish(es).

Date  CE No.

Licensed Person's Signature

## For Internal Use Only

Version 版本

Handled by 處理:

Approved and Accepted By 批核及接納:

Signature 簽署:

Authorized Signature 授權代表簽署:

Date 日期:

Date 日期: