

CLIENT INFORMATION STATEMENT

客戶資料表格

(INDIVIDUAL 個人 / JOINT 聯名)

更新版本2013年10月
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SC 13 v.2



南華證券投資有限公司
South China Securities Ltd.
南華期貨有限公司
South China Commodities Ltd.

Account name
戶口名稱

Account No.
戶口號碼

Part 1 第一部份

Account Type 帳戶類別	
Company 公司	Type of Account 帳戶種類
South China Securities Ltd. ("SCSL") 南華證券投資有限公司 ("南華證券") (CE Ref 中央編號: AAA874)	<input type="checkbox"/> Cash Account 現金帳戶 <input type="checkbox"/> Margin Account 保證金帳戶 <input type="checkbox"/> Stock Options Account 股票期權帳戶
South China Commodities Ltd. ("SCCL") 南華期貨有限公司 ("南華期貨") (CE Ref 中央編號: AAF640)	<input type="checkbox"/> Cash Account (On-line Trading Service) 現金帳戶 (網上交易服務) <input type="checkbox"/> Margin Account (On-line Trading Service) 保證金帳戶 (網上交易服務) <input type="checkbox"/> US Stocks Trading Account (HK stocks account opening required) 美股交易帳戶 (需同時開立港股戶口)
	<input type="checkbox"/> Commodities Account 期貨帳戶 <input type="checkbox"/> Commodities Account (On-line Trading Service) 期貨帳戶 (網上交易服務)

Part 2 第二部份

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 Nationality 國籍

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

Residential Address 住宅地址

☐ 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

☐ 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)

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

Source of property 財產來源: ☐ HKSAR 香港特別行政區 ☐ China 中國 ☐ Others 其他

Bank Account Information 銀行資料

All monies payable will be credited to this account only 所有現金提款將只適用於轉帳進此銀行帳戶

Name of Bank 銀行名稱 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 資本投資 ☐ Hedging 對沖 ☐ Speculation 投機 ☐ Dividend/Interest Income 股息/利息收入
☐ Others (specify) 其他

Investment Experience 投資經驗

Years of experience
投資年資

- ☐ 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

Investor Characterization 投資者分類

Has the Client adequate knowledge on derivative products? 客戶是否對衍生產品有認識? ☐ Yes 是 ☐ No 否

If the Client has the knowledge on derivative products, please answer the following questions. 若客戶對衍生產品有認識, 請回答以下問題。

1.Has the Client ever undergone training or attended courses on derivative products with general knowledge of the nature and risks of derivatives? 客戶是否曾接受有關衍生產品性質和風險的一般知識培訓或修讀相關課程? ☐ Yes 是 ☐ No 否

2.Has the Client current or previous work experience related to derivative products? 客戶是否從現時或過去擁有與衍生產品有關的工作經驗? ☐ Yes 是 ☐ No 否

3.Has the Client executed five or more transactions within the past three years in derivative products? 客戶是否於過去3年曾執行5次或以上有關衍生產品的交易? ☐ Yes 是 ☐ No 否

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

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 Nationality 國籍:

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

Residential Address 住宅地址:

☐ 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

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

Source of property 財產來源: ☐ HKSAR 香港特別行政區 ☐ China 中國 ☐ Others 其他

Investment Objectives and Experience 投資目的及經驗

Investment Objectives 投資目的

- ☐ Capital Investment 資本投資 ☐ Hedging 對沖 ☐ Speculation 投機 ☐ Dividend/Interest Income 股息/利息收入
☐ Others (specify) 其他

Investment Experience 投資經驗

Years of experience
投資年資

- ☐ 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

Investor Characterization 投資者分類

Has the Client adequate knowledge on derivative products? 客戶是否對衍生產品有認識?

☐ Yes 是 ☐ No 否

If the Client has the knowledge on derivative products, please answer the following questions. 若客戶對衍生產品有認識, 請回答以下問題。

1. Has the Client ever undergone training or attended courses on derivative products with general knowledge of the nature and risks of derivatives? 客戶是否曾接受有關衍生產品性質和風險的一般知識培訓或修讀相關課程?

☐ Yes 是 ☐ No 否

2. Has the Client current or previous work experience related to derivative products? 客戶是否從現時或過去擁有與衍生產品有關的工作經驗?

☐ Yes 是 ☐ No 否

3. Has the Client executed five or more transactions within the past three years in derivative products? 客戶是否於過去3年曾執行5次或以上有關衍生產品的交易?

☐ Yes 是 ☐ No 否

Trading Authorization 交易授權

Will the account be traded by other person(s) on my behalf? ☐ Yes 是 ☐ No 否
戶口會否授權第三者交易?

☐ Any one of us 吾等任何一人
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:

Identity Declaration 身份聲明

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。 ☐ Yes 是 ☐ No 否
If not, *the Beneficial Owner of the following: 若否最終實益擁有人如下：

Name 姓名: HKID No.(or Passport and country of issue)
身份證號碼(或護照號碼及簽發國家):

Is the Client, his spouse, partner, child, parent, spouse or partner of his child, or a close associate of the Client entrusted or has been entrusted with a prominent public function, including a head of state, head of government, judicial or military official, senior executive of a state-owned corporation and important political party official? 客戶、客戶之配偶、伴侶、子女或父母，或客戶的子女的配偶或伴侶，或與客戶關係密切的人，是否擔任或曾擔任重要公職，包括國家元首、政府首長、資深從政者、高級政府、司法或軍事官員、國有企業高級行政人員及重要政黨幹事？ ☐ No 否 ☐ Yes, please specify 是，請說明

For Margin Account Only 只適用於保證金賬戶

Related Margin Financing Account(s) 相關保證金融資賬戶

Does spouse of the Client maintain any related margin financing account of SCSL?

客戶的配偶是否持有南華證券任何相關保證金融資賬戶？

☐ No 否 ☐ Yes, please specify 是，請說明 Account No. 戶口號碼:

Name of Account Holder 賬戶持有人姓名:

Does the Client alone or jointly with his / her spouse control 35% or more of the voting rights of another financing margin account with SCSL? 客戶及/或其配偶是否單獨或共同控制南華證券之其他保證金融資賬戶35%或以上之表決權？

☐ No 否 ☐ Yes, please specify 是，請說明 Account No. 戶口號碼:

Name of Account Holder 賬戶持有人姓名:

Does the Client have a margin financing account opened by one of the companies of the Client?

客戶是否有以客戶旗下之南華證券開立保證金融資賬戶？

☐ No 否 ☐ Yes, please specify 是，請說明 Account No. 戶口號碼:

Name of Account Holder 賬戶持有人姓名:

Are you and/or any of the ultimate beneficial owner(s) of the Account related to any employee or director of South China Financial Holdings Limited or any of its subsidiaries or associated companies?

客戶及/或任何之最終賬戶受益人是否與南華金融控股有限公司及其附屬或聯營公司之僱員/董事有任何關係嗎？

☐ No 否 ☐ Yes, please specify 是，請說明 Name of the employee/director 僱員/董事姓名: 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	<input type="text"/>	<input type="text"/>	<input type="text"/>
Licensed Dealer / Trader 持牌買賣商	<input type="text"/>	<input type="text"/>	<input type="text"/>

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
<input type="text"/>	<input type="text"/>

Use of Personal Information 個人資料之使用

I am hereby informed that SCSL and/or SCCL intend to use or transfer my personal information to their associated companies and/or their business partners in direct marketing in connection with promotion of our products in the areas of financial services, investment products and related promotional schemes. Such personal data includes my name, my contact details and my age group which are provided under this Client Information Statement or obtained by SCSL and/or SCCL from time to time. I understand that I can change my instructions at any time by providing written notice to SCSL and/or SCCL. If SCSL and/or SCCL receive any conflicting instructions from me regarding the use or transfer of my personal data, the instructions given at the latest date shall prevail.

本人現獲告知南華證券及/或南華期貨欲使用或轉移本人的個人資料至其聯屬公司或其合作夥伴，作直接促銷其金融服務、產品及相關優惠計劃。該等個人資料包括本人在本客戶資料表格中向南華證券及/或南華期貨提供的及其不時獲得的本人的姓名、本人的聯絡詳情及本人的年齡組別等個人資料。本人明白本人可以隨時透過書面方式，向南華證券及/或南華期貨提出更改指示。倘南華證券及/或南華期貨就使用或轉移本人的個人資料收到本人不一致的指示，則以最後日期提供的指示為準。

☐ I agree to the aforesaid use of my personal data by SCSL and/or SCCL.

☐ 本人同意南華證券及/或南華期貨如上述情況使用本人之個人資料。

☐ I object to the aforesaid use of my personal data by SCSL and/or SCCL.

☐ 本人反對南華證券及/或南華期貨如上述情況使用本人之個人資料。

CLIENT'S DECLARATION 客戶聲明書

I declare 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.

本人聲明本人在此客戶資料表的内容及提供的資料是真實、完整和正確的。除非接到更改有關聲明内容的書面通知，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。

I hereby also confirm my request for opening the Account(s) indicated in Part 1. I have been invited to read the South China Securities Trading Agreement, and / or the South China Commodities Trading Agreement, and the terms and conditions posted on the SCtrade.com website in a language I prefer and I fully understand and agree to be bound by them in full. I also have been invited to ask questions and take independent advice if I wish.

本人確認要求開設第一部份所指帳戶。本人同意並已被邀請按照本人所選擇的語言閱讀南華證券交易協議書/南華期貨交易協議書的内容、條款及刊載於南華互動金融網網址內的協議、條款，本人完全理解並同意履行及遵守該協議書內之條款。本人已被邀請如本人有任何意願可提出及徵求獨立意見。

I acknowledge and confirm that the following Licensed Person has already explained (1) Risk Disclosure Statements as set out in clause 15, the 2nd Schedule, the 3rd Schedule, the 4th Schedule of the South China Securities Trading Agreement; (2) Risks Associated with Exchange-Traded Derivative Products; (3) Supplemental Agreement for US Stock Trading Services (if applicable); and/or (4) Risk Disclosure Statement and Disclaimer as set out in clause 13 of South China Commodities Trade Agreement including, but not limited to, Risk Disclosure Statement for Futures and Options, Risk Disclosure Statement on On-line Trading Service, and Additional Risk Disclosure for Futures and Options Trading in a language of my choice. I hereby read, fully understood and accepted all the aforesaid contents and provisions, and was invited to ask question and take independent advice if I wish.

下述持牌人士已根據本人所選擇的語言向其提供及解釋下列事項：(1)南華證券交易協議書第15條列明的風險披露聲明、南華證券交易協議書的附件二、附件三、附件四；(2)交易所買賣的衍生產品附帶風險；(3)美股交易服務補充條文(如適用)；及/或(4)南華期貨交易協議書第13條列明的風險披露聲明，包括但不限於期貨及期權風險披露聲明、網上交易之風險披露聲明及關於期貨及期權買賣的額外風險披露。本人已閱讀、完全明白及接受所有内容和細則，及已被邀請閱讀、提出問題及徵求獨立的意見，如本人有此意願。

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所提供有關資料。

You are further and hereby authorized to accept any fax and/or email message from me as the original instruction, and I shall fully indemnify you from and against all losses, damages, interest, costs, expenses, actions, demands, claims, proceedings whatsoever which may incur, suffer or sustain as a result of or arising from the exercise of that instruction. I hereby waive any liabilities for you that may arise from these authorizations.

閣下現被授權接受任何本人發出之傳真及/或電郵訊息為原本指示及閣下因執行此指示而招致、蒙受或遭受一切損失、賠款、利息、成本、費用及一切因法律行動而招致、蒙受或遭受之索償，向閣下作出賠償保證及保障閣下不會因此蒙受損失。本人免除閣下因此授權所引起的責任及損害。

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

Witness Name
見證人姓名

Occupation
職業

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 Securities Trading Agreement and /or the South China Commodities Trading Agreement and clearly explained (1) Risk Disclosure Statements as set out in clause 15, the 2nd Schedule, the 3rd Schedule, the 4th Schedule of the South China Securities Trading Agreement; (2) Risks Associated with Exchange-Traded Derivative Products; (3) Supplemental Agreement for US Stock Trading Services (if applicable); and/or (4) Risk Disclosure Statement and Disclaimer as set out in clause 13 of South China Commodities Trade Agreement including, but not limited to, Risk Disclosure Statement for Futures and Options, Risk Disclosure Statement on On-line Trading Service, and Additional Risk Disclosure for Futures and Options Trading 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: