



華盛証券

新浪旗下互聯網券商

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Valuable Capital Limited ("VCL") is a licensed corporation that is licensed for Type 1 Regulated Activity (i.e. Dealing in Securities), Type 2 Regulated Activity (i.e. Dealing in Futures Contracts), Type 4 Regulated Activity (i.e. Advising on Securities), Type 5 Regulated Activity (i.e. Advising on Futures Contracts) and Type 9 Regulated Activity (i.e. Asset Management) under the Securities and Futures Ordinance (Cap. 571) with CE No. AUL711 and is an Exchange Participant of The Stock Exchange of Hong Kong Limited and Hong Kong Futures Exchange Limited.

華盛資本証券有限公司(「華盛証券」)是根據《證券及期貨條例》(第571章)就第一類受規管活動(即證券交易)、第二類受規管活動(即期貨合約交易)、第四類受規管活動(即就證券提供意見)、第五類受規管活動(即就期貨合約交易提供意見)及第九類受規管活動(即提供資產管理)獲發牌的持牌法團,其中央編號為AUL711,為香港聯合交易所有限公司及香港期貨交易所有限公司的交易所參與者。

Account Opening Form (Joint Account Supplement)¹ 開戶表格(聯名賬戶補充)

Each joint account holder shall complete B1 to B4, the account holder (2) shall complete this Account Opening Form (Joint Account Supplement)
每名聯名賬戶持有人須分別填寫本表格 B1 至 B4, 賬戶持有人(2) 須填寫本開戶表格(聯名賬戶補充)

B. CLIENT INFORMATION 客戶資料 (Account Holder (2) 賬戶持有人(2))

B1. Personal Information 個人資料

Mr 先生 Ms 女士

Name in English (Surname First) as per your ID Card/Passport
英文姓名(先寫姓氏), 姓名必須與閣下的身份證/護照的紀錄相符:

Name in Chinese
中文姓名:

ID Card /Passport No. 身份證/護照號碼:

Place of Issue 簽發國家:

Nationality 國籍:

Place of Birth 出生地點:

Date of Birth 出生日期:

Current Residential Address
現居住地址:

Correspondence Address
通訊地址:

Home Phone No.
住宅電話號碼:

Mobile Phone No.
手提電話號碼:

E-mail Address
電郵地址:

B2. Employment Status 工作狀況

Self-Employed/owner 自僱/僱主

Employed 受僱

Unemployed 待業

Retired 退休

Housewife 家庭主婦

Student 學生

Other (Please specify) 其他: 請註明: _____

Name of Employer
公司名稱:

Office Address
公司地址:

Office Phone No.
公司電話號碼:

Office Fax No.
公司傳真號碼:

Position
職位:

Years of Service
服務年資:

¹ This is only a supplement to "Account Opening Form (Individual/Joint Account)" and cannot be used alone. 此表格為「開戶表格(個人/聯名賬戶)」的補充表格, 不可單獨使用。

Employer/Occupation Industry (please select one) 僱主/職業行業 (只選一項) :

<input type="checkbox"/> Agriculture 農業	<input type="checkbox"/> Gambling 博彩業	<input type="checkbox"/> Medical 醫療
<input type="checkbox"/> Architecture / Construction 建築/建造	<input type="checkbox"/> Gems/Precious Metals/ Jewellery Trading 寶石/貴金屬/珠寶買賣	<input type="checkbox"/> Money Exchange/Remittance 貨幣兌換/匯款
<input type="checkbox"/> Auction house / Art Piecework Trading 拍賣行/藝術品古董買賣	<input type="checkbox"/> Government / Public Body 政府/公共機構	<input type="checkbox"/> Non-profit organization 非牟利機構
<input type="checkbox"/> Beauty/Healthcare Service 美容/保健服務	<input type="checkbox"/> Hotels/Travel 酒店/旅遊業	<input type="checkbox"/> Pawnshop 典當業
<input type="checkbox"/> Business Services 商業服務	<input type="checkbox"/> Information Technology 資訊科技	<input type="checkbox"/> Real Estate Agent 房地產經紀
<input type="checkbox"/> Clubs / Karaoke / Massage Parlor / Sauna 夜總會/卡拉OK/按摩店/桑拿	<input type="checkbox"/> Information/Communications 資訊/通訊	<input type="checkbox"/> Real Estate Development 房地產開發
<input type="checkbox"/> Education 教育	<input type="checkbox"/> Insurance 保險	<input type="checkbox"/> Retail 零售
<input type="checkbox"/> Engineering 工程	<input type="checkbox"/> Legal 法律	<input type="checkbox"/> Trading/Wholesales 貿易/批發
<input type="checkbox"/> Financial Regulators/ICAC/similar authority 金融監管機構/廉署/同類機構	<input type="checkbox"/> Leisure/Entertainment/Culture 康樂/娛樂業文化	<input type="checkbox"/> Transportation/Storage 運輸/倉庫
<input type="checkbox"/> Finance 金融	<input type="checkbox"/> Logistics 物流業	<input type="checkbox"/> Utilities 公共事業
<input type="checkbox"/> Food and Beverage 飲食業	<input type="checkbox"/> Manufacturing 製造業	<input type="checkbox"/> Weapon/Military Industry/Arms Trading 軍火/軍工/武器買賣
<input type="checkbox"/> Foreign Consulate Embassy 外國領事館	<input type="checkbox"/> Media/Marketing 媒體/市場營銷	<input type="checkbox"/> Other (Please specify) 其他: 請註明: _____

B3. Financial Profile 財務狀況

The items below represent the incomes and assets solely owned by the account holder: 以下資料代表賬戶持有人獨立擁有之收入及資產:

Annual Income (HK\$) 每年收入 (港幣) :

<input type="checkbox"/> ≤ \$200,000	<input type="checkbox"/> \$200,001~\$500,000	<input type="checkbox"/> \$500,001~\$1,000,000
<input type="checkbox"/> \$1,000,001~\$3,000,000	<input type="checkbox"/> >\$3,000,000	

Total Net Worth (HK\$) 總資產淨值 (港幣) :

<input type="checkbox"/> ≤ \$500,000	<input type="checkbox"/> \$500,001~\$1,000,000	<input type="checkbox"/> \$1,000,001~\$5,000,000
<input type="checkbox"/> \$5,000,001~\$8,000,000	<input type="checkbox"/> >\$8,000,000 (Please specify 請註明: _____)	

Ownership of Residence 住宅業權 :

<input type="checkbox"/> Owned 自置	<input type="checkbox"/> Rented 租用	<input type="checkbox"/> Mortgaged 按揭
<input type="checkbox"/> Living with Family 與家人同住	<input type="checkbox"/> Others 其他: _____	

Source of Funds (The source of initial and expected deposits to VCL for investment) 資金來源 (初始存入及預期存入華盛證券以作投資的資金來源) :

<input type="checkbox"/> Employment Income 受僱收入	<input type="checkbox"/> Investment Profit 投資利潤	<input type="checkbox"/> Profit from own business 個人業務收益
<input type="checkbox"/> Pension 退休金	<input type="checkbox"/> Sale of Assets/Property 出售資產/物業	<input type="checkbox"/> Others (Please specify) 其他 (請註明): _____

B4. Investment Experience, knowledge and Risk Profile 投資經驗, 知識及風險狀況

Investment Product(s) and Investment Experience 投資產品及投資經驗:

	None 沒有	0-3	4-6	7-10	>10 Years 年
(a) Stocks 股票	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(b) Exchange Traded Funds 交易所買賣基金	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(c) Non Exchange Traded Funds 非交易所買賣基金	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(d) Fixed Income Products (Plain Vanilla) 固定收益產品 (傳統)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(e) Fixed Income Products (Complex) 固定收益產品 (複雜)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(f) Investment-lined Insurance Plans 投資相連保險計劃	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(g) Listed Derivatives / Structured Products 上市衍生工具 / 結構性產品	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(h) OTC Derivatives / Structured Products 場外衍生工具 / 結構性產品	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(i) Leveraged FX Trading 槓桿外匯投資	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Knowledge of Derivative Products³ 衍生產品的知識

I have undergone training or attended courses on derivatives products.
本人曾接受有關衍生產品的培訓或修讀相關課程。

I have current or previous work experience related to derivatives products.
本人現時或過去擁有與衍生產品有關的工作經驗。

I have executed 5 or more transactions within the past 3 years in derivative products (e.g. Derivative Warrants, Callable Bull/Bear Contracts, Exchange Traded Funds, Equity Linked Instruments etc.).
本人過去3年曾執行5次或以上有關衍生產品的交易(例如: 衍生權證、牛熊證、交易所買賣基金及股票掛鈎票據)。

I confirm that I have carefully read and fully understood the Clause 15 of Client Agreement relating to Derivative Products, including risks associated with Derivative Products. I further confirmed that VCL's representative has fully explained to me the nature and risks of Derivative Products.
本人確認, 本人已閱讀並完全明白客戶協議書內關於衍生產品的第15條條款, 包括附帶於衍生產品的相關風險。本人再進一步確認華盛證券職員已完全向本人解釋衍生產品的性質和風險。

³ Derivative products included derivative warrants, callable bull/bear contracts, exchange traded funds and equity linked instruments.
衍生產品包括衍生權證、牛熊證、交易所買賣基金及股票掛鈎票據。