



**聯合證券有限公司**  
**HEAD & SHOULDERS SECURITIES LIMITED**

香港皇后大道中 152 號皇后大道中心 28-29 樓  
28-29/F, Queen's Road Centre, 152 Queen's Road Central, HK

電話 Tel : (852) 3103 8386

傳真 Fax : (852)3103 8399

C.E. No. : AFS455

**客戶資料表格 (個人 / 聯名現金證券戶口)**  
**CLIENT INFORMATION STATEMENT (INDIVIDUAL/ JOINT CASH SECURITIES ACCOUNT)**

客戶主任姓名： Name of Account Executive :		帳戶號碼： Account No. :	
客戶主任編號： A E Code :		申請開戶日期： Application Date :	
與客戶主任認識年期： How long known to AE :		帳戶類型： Account Type : <input type="checkbox"/> 個人帳戶 Individual A/C <input type="checkbox"/> 聯名戶口 Joint A/C	
介紹人： Introduced By :			

**A. 客戶資料 CLIENT DETAILS**

	個人/聯名帳戶主要持有人資料 Individual/Primary Joint Account Holder	聯名帳戶第二戶口持有人資料 Secondary Joint Account Holder
1	客戶姓名 Customer Name (先寫姓氏 Surname first) 先生 Mr. / 女士 Ms. / 太太 Mrs. / 小姐 Miss  (英文) (中文) (English) (Chinese)	客戶姓名 Customer Name (先寫姓氏 Surname first) 先生 Mr. / 女士 Ms. / 太太 Mrs. / 小姐 Miss  (英文) (中文) (English) (Chinese)
3	住宅 Residential Address	住宅 Residential Address
4	郵政編號 Postal Code	郵政編號 Postal Code
6	通訊地址 Correspondence Address (如與上址不同 If different from above)	通訊地址 Correspondence Address (如與上址不同 If different from above)
7	電郵地址 Email Address	(只須由個人/主要帳戶持有人填寫 For Individual/ Primary Joint Account Holder Only)
8	香港身份證號碼/ 護照號碼 HKID Card No/ Passport No	香港身份證號碼/ 護照號碼 HKID Card No/ Passport No
9	簽發地點 Place of Issue	簽發地點 Place of Issue
10	住宅電話 Home Phone No	住宅電話 Home Phone No
12	流動電話 Mobile Phone No	流動電話 Mobile Phone No
13	辦公室電話 Office Phone No	辦公室電話 Office Phone No
14	傳真號碼 Facsimile No	傳真號碼 Facsimile No
15	國籍/ 公民身份 Nationality/ Citizenship	國籍/ 公民身份 Nationality/ Citizenship

**B. 業務/工作狀況 BUSINESS/ EMPLOYMENT STATUS**

1	職業/ 業務性質 Occupation/ Business	職業/ 業務性質 Occupation/ Business
2	職位 Job Title	職位 Job Title
3	僱主名稱 Name of Employer	僱主名稱 Name of Employer
4	受僱年期 Years with Employer	受僱年期 Years with Employer
5	辦公室地址 Office Address	辦公室地址 Office Address
6	郵政編號 Postal Code	郵政編號 Postal Code

**C. 銀行資料 BANK INFORMATION**

銀行帳戶 (只供存款用途) BANKING ACCOUNT (For fund deposit only) 除閣下另行指示外，任何支付予閣下的款項將會存入下列銀行帳戶： Unless otherwise to be instructed by you, all monies payable to you will be credited to the following bank account:
銀行 Bank : _____ 帳戶名稱 Account Name : _____  帳戶號碼 Account Number : _____

**D. 客戶背景申報 DECLARATION BY CUSTOMER**

1	閣下是否此帳戶的最終實益擁有人？ Are you the ultimate beneficial owner(s) in relation to the Account?  <input type="checkbox"/> 是 Yes <input type="checkbox"/> 否，帳戶最終實益擁有人是 (如多於一位，請另紙說明) No, detail of the ultimate beneficial owner is (if more than one, please specify on an additional paper) :  姓名 Name: _____ 電話 Phone: _____ 地址 Address: _____ 護照/ 身份證號碼 Passport/ ID No.: _____ (簽發地點 Place of issue: _____ )						
2	閣下是否任何受證監會監管的機構的員工、代理或高級人員？(如是，請提供閣下僱主的書面同意) Are you the employee, agent or officer of an entity regulated by the SFC? (If yes, please provide your employer's consent letter)  <input type="checkbox"/> 是，有關的交易所參與者或中介人的名稱是： Yes, the name of the related exchange participant or the intermediary is: _____  <input type="checkbox"/> 否 No						
3	閣下是否有親屬於聯合證券有限公司工作？ Do you have any relatives working in Head & Shoulders Securities Limited?  <input type="checkbox"/> 是，該職員/ 代理人的姓名：_____ 關係：_____ Yes, Name of employee/ agent: _____ Relationship: _____  <input type="checkbox"/> 否 No						
4	如閣下的業務涉及處理第三者的資產 (如基金經理，股票經紀)，請回答以下的問題。 For client whose business involves handling third party assets (e.g. fund manager, stockbrokers), please answer the following questions.  <table style="width:100%; border: none;"> <tr> <td style="width: 50%; vertical-align: top; padding-right: 10px;">                     a 閣下(包括外國的分行及子公司) 是否已制訂書面政策，並執行內部程序和管理，以打擊洗黑錢的行動？                      Do you (including foreign branches and subsidiaries, if any) have established written policies and implemented internal procedures and controls to combat money laundering?   <input type="checkbox"/> 是 Yes      <input type="checkbox"/> 否 No                 </td> <td style="width: 50%; vertical-align: top;">                     a 閣下(包括外國的分行及子公司) 是否已制訂書面政策，並執行內部程序和管理，以打擊洗黑錢的行動？                      Do you (including foreign branches and subsidiaries, if any) have established written policies and implemented internal procedures and controls to combat money laundering?   <input type="checkbox"/> 是 Yes      <input type="checkbox"/> 否 No                 </td> </tr> <tr> <td style="vertical-align: top; padding-right: 10px;">                     b 閣下所屬的機構，就舉報可疑的活動和交易是否已確立程序向適當的監控組織報告？                      Are there documented procedures of your institution for reporting suspicious activities and transactions to the appropriate authorities?   <input type="checkbox"/> 是 Yes      <input type="checkbox"/> 否 No                 </td> <td style="vertical-align: top;">                     b 閣下所屬的機構，就舉報可疑的活動和交易是否已確立程序向適當的監控組織報告？                      Are there documented procedures of your institution for reporting suspicious activities and transactions to the appropriate authorities?   <input type="checkbox"/> 是 Yes      <input type="checkbox"/> 否 No                 </td> </tr> <tr> <td style="vertical-align: top; padding-right: 10px;">                     c 閣下所屬的機構有否已制訂政策與程序，確保已採用合理方法去取得客戶真正身份的資料，並將有關資料於指定時限內予以保留？                      Has your institution established policies and procedures to ensure that reasonable measures are taken to obtain information about the true identity of its customers, and are these records retained for a specified period of time?   <input type="checkbox"/> 是 Yes      <input type="checkbox"/> 否 No                 </td> <td style="vertical-align: top;">                     c 閣下所屬的機構有否已制訂政策與程序，確保已採用合理方法去取得客戶真正身份的資料，並將有關資料於指定時限內予以保留？                      Has your institution established policies and procedures to ensure that reasonable measures are taken to obtain information about the true identity of its customers, and are these records retained for a specified period of time?   <input type="checkbox"/> 是 Yes      <input type="checkbox"/> 否 No                 </td> </tr> </table>	a 閣下(包括外國的分行及子公司) 是否已制訂書面政策，並執行內部程序和管理，以打擊洗黑錢的行動？ Do you (including foreign branches and subsidiaries, if any) have established written policies and implemented internal procedures and controls to combat money laundering?  <input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No	a 閣下(包括外國的分行及子公司) 是否已制訂書面政策，並執行內部程序和管理，以打擊洗黑錢的行動？ Do you (including foreign branches and subsidiaries, if any) have established written policies and implemented internal procedures and controls to combat money laundering?  <input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No	b 閣下所屬的機構，就舉報可疑的活動和交易是否已確立程序向適當的監控組織報告？ Are there documented procedures of your institution for reporting suspicious activities and transactions to the appropriate authorities?  <input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No	b 閣下所屬的機構，就舉報可疑的活動和交易是否已確立程序向適當的監控組織報告？ Are there documented procedures of your institution for reporting suspicious activities and transactions to the appropriate authorities?  <input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No	c 閣下所屬的機構有否已制訂政策與程序，確保已採用合理方法去取得客戶真正身份的資料，並將有關資料於指定時限內予以保留？ Has your institution established policies and procedures to ensure that reasonable measures are taken to obtain information about the true identity of its customers, and are these records retained for a specified period of time?  <input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No	c 閣下所屬的機構有否已制訂政策與程序，確保已採用合理方法去取得客戶真正身份的資料，並將有關資料於指定時限內予以保留？ Has your institution established policies and procedures to ensure that reasonable measures are taken to obtain information about the true identity of its customers, and are these records retained for a specified period of time?  <input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
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5	財務狀況 FINANCIAL PROFILE	<p>a 估計全年收入 Estimated annual Income</p> <input type="checkbox"/> <HK\$100,000 <input type="checkbox"/> HK\$100,001 – HK\$200,000 <input type="checkbox"/> HK\$200,001 – HK\$500,000 <input type="checkbox"/> HK\$500,001 – HK\$1,000,000 <input type="checkbox"/> >HK\$1,000,000	<p>a 估計全年收入 Estimated annual Income</p> <input type="checkbox"/> <HK\$100,000 <input type="checkbox"/> HK\$100,001 – HK\$200,000 <input type="checkbox"/> HK\$200,001 – HK\$500,000 <input type="checkbox"/> HK\$500,001 – HK\$1,000,000 <input type="checkbox"/> >HK\$1,000,000
		<p>b 資產淨值 Net Asset Value</p> <input type="checkbox"/> <HK\$100,000 <input type="checkbox"/> HK\$100,001 – HK\$200,000 <input type="checkbox"/> HK\$200,001 – HK\$500,000 <input type="checkbox"/> HK\$500,001 – HK\$1,000,000 <input type="checkbox"/> >HK\$1,000,000	<p>b 資產淨值 Net Asset Value</p> <input type="checkbox"/> <HK\$100,000 <input type="checkbox"/> HK\$100,001 – HK\$200,000 <input type="checkbox"/> HK\$200,001 – HK\$500,000 <input type="checkbox"/> HK\$500,001 – HK\$1,000,000 <input type="checkbox"/> >HK\$1,000,000
		<p>c 住屋業權 Ownership of Residence</p> <input type="checkbox"/> 擁有 owned - <input type="checkbox"/> 已抵押 Mortgaged <input type="checkbox"/> 沒有抵押 Not Mortgaged <input type="checkbox"/> 沒有 Not owned - <input type="checkbox"/> 租住 Rented <input type="checkbox"/> 與家人同住 Living with Family	<p>c 住屋業權 Ownership of Residence</p> <input type="checkbox"/> 擁有 owned - <input type="checkbox"/> 已抵押 Mortgaged <input type="checkbox"/> 沒有抵押 Not Mortgaged <input type="checkbox"/> 沒有 Not owned - <input type="checkbox"/> 租住 Rented <input type="checkbox"/> 與家人同住 Living with Family

  

6	投資經驗 INVESTMENT EXPERIENCE	<p>如屬聯名戶口，需由主要戶口持有人填寫 (For joint account, this section should be completed by the Primary Account Holder)</p>	
		<p>a 閣下是否擁有投資下列產品的經驗 Do you have the experience of investment in the following products?</p> <input type="checkbox"/> 香港上市股票 HK listed stocks <input type="checkbox"/> 海外上市股票 Overseas listed stocks <input type="checkbox"/> 香港期貨和期權 HK Futures & Options <input type="checkbox"/> 海外期貨和期權 Overseas Futures & Option <input type="checkbox"/> 外匯 Forex <input type="checkbox"/> 貴金屬 Precious Metals <input type="checkbox"/> 沒有 None	
		<p>b 投資年期</p> <input type="checkbox"/> 沒有 Nil <input type="checkbox"/> 少於一年 less than 1 years <input type="checkbox"/> 一至五年 1-5 years <input type="checkbox"/> 五至十年 6-10 years <input type="checkbox"/> 十年以上 Over 10 years	
		<p>c 投資目的 Investment Objective</p> <p>c1 <input type="checkbox"/> 短線 Short Term <input type="checkbox"/> 中線 Medium Term <input type="checkbox"/> 長線 Long Term</p> <p>c2 <input type="checkbox"/> 穩定 Stable <input type="checkbox"/> 資本增長 Capital Gain <input type="checkbox"/> 對沖 Hedging <input type="checkbox"/> 投機 Speculation</p>	

### E. 簽名式樣 SPECIMEN SIGNATURE

<b>個人/主要帳戶持有人簽署式樣</b> Specimen Signature of Individual/ Primary Joint Account Holder	<b>聯名帳戶第二持有人簽署</b> Specimen Signature of Secondary Joint Account Holder

### F. 客戶確認及承認 CLIENT ACKNOWLEDGEMENT AND CONSENT

#### 戶口開立聲明及資料提供 Declaration of Account Opening and Information Provided

本人/吾等謹此聲明表格上提供之所有資料均為真實正確，本人/吾等並不刻意隱瞞任何重要事實。本人/吾等向貴公司申請開立現金帳戶(“該帳戶”)和同意現金客戶協議書(“本協議”)的所有條款，並同意遵守香港聯合交易所有限公司、香港中央結算有限公司及其他監管機構不時修定以規管於該帳戶進行的交易之條例及規則。本人/吾等謹此授權貴公司及此表格提及之銀行相互及向合適第三者查證及交換此表格上之資料和其他關於本人/吾等之資料，以作核實開戶申請及其他用途(如本人/吾等仍為貴公司的客戶)。

I/We hereby declare that the information given in this form is true and correct and that I/we have not willfully withheld any material fact(s). I/We request you to open a Cash Account (the “Account”) and agree to all the terms of the Cash Client Agreement (“this Agreement”) and to abide by the Cash Client Agreement, the rules and regulations of The Stock Exchange of Hong Kong Limited and Hong Kong Securities clearing Company Limited or any other regulatory body (ies) as amended from time to time governing the transactions in the Account. I/We hereby authorize you to verify and exchange the information contained in this application form and such other information relating to my/our personal particulars between yourselves and such other third parties as you may deem appropriate for the purpose of approving my/our application and for such other purposes as long as I/we shall as a your client.

#### 風險披露聲明 Risk Disclosure Statement

本人/吾等謹此承認並確定本人/吾等已獲得按照本人/吾等所選擇的語言(英文或中文)的本協議，當中包括但不限於本客戶資料表格、本協議的條款及風險披露聲明，及本人/吾等已獲邀請細閱該風險披露聲明、提出問題及徵求獨立意見(如本人/吾等有此意願)。本人/吾等確認本人/吾等已經保留本協議的副本以作備考之用。

I/We hereby acknowledge and confirm that this Agreement, including but not limited to the Account Opening Form, the Terms and Conditions of the Agreement, Data Privacy Policy and the Risk Disclosure Statement was provided to me/us in a language of my/our choice (English or Chinese), and I/we have been invited to read the Risk Disclosure Statement carefully, ask questions and seek independent advice if I/we so wish. I/We also confirm that I/we have retained a copy of this Agreement for my/our reference.

#### 聯名帳戶指示安排 Instruction Arrangement For Joint Account (祇適用於聯名帳戶 For Joint Account only)

此帳戶將以下面已揀選的指示方式發出買賣、交收或取消帳戶的指令(請在適當的方格打上“v”號)

The Account can be operated for trading or settlement or can be closed on the instruction of (please tick the appropriate box):

- 任何一個帳戶持有人的指示 Either one of the account holders;  
 全部帳戶持有人的指示 All account holders  
 指定一個帳戶持有人的指示 Designated account holder \_\_\_\_\_

客戶資料表格、現金客戶協議書、風險披露聲明以英文本為確實及擁有最終效力 (相對中文譯本而言)。

The Client Information Statement, Cash Client Agreement, Risk Disclosure Statement in English version shall be deemed to be conclusive and definitive relative to the Chinese version.

個人/主要帳戶持有人簽署 Signed and acknowledged by Individual/ Primary Joint Account Holder	聯名帳戶第二持有人簽署 Signed and acknowledged by Secondary Joint Account Holder
日期 Date:	日期 Date:

### 職員/ 客戶主任聲明 DECLARATION BY STAFF/ ACCOUNT EXECUTIVE

本人茲聲明已按照客戶所選擇的語言 (英文或中文) 向其提供本協議的副本, 當中包括但不限於本客戶資料表格、本協議的條款及風險披露聲明, 及已邀請客戶細閱該風險聲明提出問題及徵求獨立意見 (如客戶有此意願)。

I hereby declare that I have provided a copy of the Agreement, including but not limited to this Customer Information Statement, the Terms and Conditions of the Agreement and the Risk Disclosure Statement to the Client in a language of their choice (English or Chinese). I have also invited the Client to read the Risk Disclosure Statement, and to ask questions and seek independent advice if the Client so wishes.

(請用正楷填寫 Please complete in block letters)

職員/ 客戶主任簽署:

Signature of Staff/ Account Executive : \_\_\_\_\_  
姓名 Name : \_\_\_\_\_ CE 編號 CE No: \_\_\_\_\_ 日期 Date: \_\_\_\_\_

### 只供本行使用 FOR OFFICIAL USE ONLY

文件查核列 Document check list

已獲銀行及信貸參考 (例如: 銀行結單、屋契等)

Bank and Credit Reference obtained (eg. Bank statement, deed of residence etc.)

是 Yes  否 No

取得身份證/ 護照副本/公司註冊副本/商業登記副本 I.D Card/ Passport/ CI / BR Copy obtained

是 Yes  否 No

取得地址證明副本 Address proof obtained

是 Yes  否 No

原初交易限額(港元):

Initial Trading Limit(HKD) : \_\_\_\_\_

佣金

Brokerage (%) : \_\_\_\_\_

最低佣金 (HKD) :

Minimum Brokerage (HKD): \_\_\_\_\_

過期息率

Overdue Interest Rate (%) : **P+6%**

批核:

Approved by: \_\_\_\_\_

姓名 Name :

日期 Date:

批核:

Approved by: \_\_\_\_\_

姓名 Name :

日期 Date:

批核:

Approved by: \_\_\_\_\_

姓名 Name :

日期 Date:

### 開戶批核 Account Opening Approval

負責人簽署

Signature of Responsible Officer: \_\_\_\_\_  
負責人姓名 Name : \_\_\_\_\_ 日期 Date: \_\_\_\_\_

客戶資料更新

Client information updated by: \_\_\_\_\_  
職員姓名 Staff Name : \_\_\_\_\_ 日期 Date: \_\_\_\_\_

聯合証券有限公司 HEAD & SHOULDERS SECURITIES LIMITED  
防止洗黑錢及防止恐怖分子籌資活動問卷  
ANTI-MONEY LAUNDERING AND ANTI-TERRORIST FINANCING QUESTIONNAIRE

客戶名稱

客戶帳戶號碼

Client Name : \_\_\_\_\_

Client Account Number: \_\_\_\_\_

本地客戶 (如客戶屬香港居民) \_\_\_\_\_

**For Local Client (i.e. Client located in Hong Kong)**

請在適當的欄上加勾號 *Please tick the appropriate column*

		是 Yes	否 No
1	閣下是否與政界人士有聯繫？(政界人士：指目前或以往曾經擔任重要公職的人士，如國家或政府的首長，資深政客，政府高級官員和重要政黨官員等) Are you linked to politically exposed persons? (Politically exposed person – individual who is or has been entrusted with prominent public function e.g. head of state/government, senior politician, senior executive of government-owned corporation, important political party official, etc)		
2	閣下的業務性質是否特別容易蒙受較高的洗黑錢風險？(舉例：如會接觸大量現金往來，找換業或博彩業) Is the nature of your business particularly susceptible to money laundering risk? (For example, money changer or casino business that handles large amount of cash)		
3	閣下的金錢來源是否源於或涉及非法所得？ Does your money might be arising from or related to proceeds of crime?		

客戶簽名

日期

Client Signature : \_\_\_\_\_

Date : \_\_\_\_\_

風險評估 Risk Assessment : 高 HIGH / 中性 NEUTRAL

填寫 Completed By : \_\_\_\_\_ 日期 Date : \_\_\_\_\_

批核 Approved By : \_\_\_\_\_ 日期 Date : \_\_\_\_\_

Responsible Officer 負責人員

(如風險評估屬“高”，須完成進階盡職審查才可予以批核開戶)

(If Risk Assessment is “HIGH”, sign off after performance of enhanced due diligence procedures)

**聯合証券有限公司 HEAD & SHOULDERS SECURITIES LIMITED**  
**防止洗黑錢及防止恐怖分子籌資活動問卷**  
**ANTI-MONEY LAUNDERING AND ANTI-TERRORIST FINANCING QUESTIONNAIRE**

客戶名稱 客戶帳戶號碼  
**Client Name** : \_\_\_\_\_ **Client Account Number:** \_\_\_\_\_

**海外客戶 (如客戶非本港居民) For Overseas Client (i.e. Client located outside Hong Kong)**

請在適當的欄上加勾號 *Please tick the appropriate column*

	是 Yes	否 No
<p>1 閣下居住的國家是否財務行動特別組織的成員？                      (財務行動特別組織成員包括：阿根廷、澳大利亞、奧地利、比利時、巴西、加拿大、中國、丹麥、芬蘭、法國、德國、希臘、香港、冰島、愛爾蘭、意大利、日本、盧森堡、墨西哥、荷蘭、紐西蘭、挪威、葡萄牙、俄羅斯聯邦、新加坡、南非、西班牙、瑞典、瑞士、土耳其、英國、美國、歐洲委員會及海灣合作理事會)                      Is the country that you located is a member of the Financial Action Task Force ("FATF")?                      (Members of FATF include: Argentina, Australia, Austria, Belgium, Brazil, Canada, Denmark, Finland, France, Germany, Greece, Hong Kong, China, Iceland, Ireland, Italy, Japan, Luxembourg, Mexico, Netherlands, New Zealand, Norway, Portugal, Russian, Federation, Singapore, South Africa, Spain, Sweden, Switzerland, Turkey, United Kingdom, USA, European Commission, and the Gulf Cooperation Council)</p>		
<p>2 閣下居住的國家是否已有現行的法律或條例立以制止洗黑錢的活動？                      Are you located in a country with established laws/ regulations designed to prevent money laundering?</p>		
<p>3 如閣下在(2)題的答案選擇“是”，你是否受到現行的法律或條例所管制？ If the answer to (b) is YES, are you subject to such laws/regulations?</p>		
<p>4 閣下是否就反洗黑錢條例或反恐怖分子籌資活動條例維持著“無罪紀錄”？如否，請另外提交一份詳細的資料。                      Have you maintained a “no conviction record” for anti-money laundering or anti-terrorist financing legislation? If no, please provide details on a separate sheet.</p>		

客戶簽名 日期  
**Client Signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_

風險評估 Risk Assessment : 高 HIGH / 中性 NEUTRAL

填寫 Completed By : \_\_\_\_\_ 日期 Date : \_\_\_\_\_

批核 Approved By : \_\_\_\_\_ 日期 Date : \_\_\_\_\_

Responsible Officer 負責人員

(如風險評估屬“高”，須完成進階盡職審查才可予以批核開戶)

*(If Risk Assessment is "HIGH", sign off after performance of enhanced due diligence procedures)*