

* Delete as appropriate 刪去不適用

CUSTOMER INFORMATION STATEMENT (CORPORATE ACCOUNT)
客戶資料表格 (公司帳戶)

1. Corporate Particulars 公司資料

Name (English 英文)
 名稱

(Chinese 中文)

Trading Name (if different from above)
 經營名稱(如異於上述)

Place of Incorporation Date of Incorporation
 成立地點 成立日期

Certificate of Incorporation No.
 成立證書編號

Place of Registration Registration Number
 註冊地點 註冊編號

Registered Office¹
 註冊辦事處¹

(Postal Code 郵編)

Principal Place of Business
 總辦事處

(Postal Code 郵編)

Phone No. Fax No.
 電話號碼 傳真號碼

Email Address²
 電郵地址² @

(compulsory for sending statements 必須提供以作發出結單之用)

Contact Person Title
 聯絡人 職位

Brief Description of Business Nature
 業務性質簡述

- Nature of Entity 業務性質簡述
- Listed Company 上市公司
 - Unlisted Limited Company 非上市有限公司
 - Sole Proprietorship 獨資經營
 - Partnership 合夥經營
 - Others 其他 (please specify 請註明: _____)

1. Please provide copy of address proof issued within the last 3 months 請提供最近三個月之住址證明副本
 2. All daily and/or monthly statements of account will be sent by CSC electronically via email only. If you request for copies of statements in paper format, a service fee of HK\$15 will become payable on you for the months in which hard copy statements are generated. 所有日結單及月結單將只會以電子形式發送至客戶的電子郵箱。若您仍想繼續收取郵寄結單，我們會就發出結單之月份向閣下收取港幣15元正的服務費。

3. Financial Background 財務狀況

Paid-up Capital 繳足股本	HK\$	Net Asset Value 淨資產值	HK\$
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Net Profit (After Tax) in Preceding 3 Years 以往3年除稅後溢利

Year 年份			
HKD 港幣			

Address of Property(ies) Owned 擁有物業地址	1.		
	(Postal Code 郵編)		
	2.		
	(Postal Code 郵編)		

4. Corporate Structure 公司結構

The individuals who hold 10% or more of the ultimate beneficial interest of the Company (not applicable to public listed companies) 有百分之十或以上之公司最終權益擁有人(上市公司不適用)

Name 姓名	Address 地址
(%)	
(%)	
(%)	

Particular of Director(s) of the Company 董事詳細資料

Name & HKID/Passport * No. 姓名及香港身份證/護照 * 號碼	Address 地址
()	
()	
()	

5. Credit Reference 信貸參考

	Name of Bank/Broker or Dealer 銀行/經紀或交易商名稱	Type of Account 帳戶類別	Account No. 帳戶號碼
Bank Reference 銀行提述			
Other Broker or Dealer Reference 其他經紀或交易商提述			

6. Investment Objectives and Experience 投資目的及經驗
(compulsory in accordance with regulatory requirements 按有關監管條例此欄必須填寫)

General Information 一般資料

- Investment Objectives 投資目的
- Hedging 對沖 Speculation 投機
- Capital Investment and Income 資本投資及收入
- Others 其他 (please specify 請註明: _____)

Investment Experiences 投資經驗

<input checked="" type="checkbox"/>	Product 商品	Average Portfolio Value 平均貨值 HK\$	Year(s) of Experience 投資年期
<input type="checkbox"/>	Stock, Shares, Debentures or Other Securities 股票、股份、債權證及其他證券		
<input type="checkbox"/>	Unit Trusts & Mutual Funds 單位信託及互惠基金		
<input type="checkbox"/>	Leveraged Foreign Exchange 槓桿外匯		
<input type="checkbox"/>	Derivatives / Structured Products 衍生工具／結構性產品		
<input type="checkbox"/>	Others (please specify: _____) 其他 (請註明: _____)		
<input type="checkbox"/>	Nil 沒有	N/A 不適用	N/A 不適用

- Risk Tolerance 可承受風險 Low 低 Medium 中等 High 高

Knowledge of Derivatives / Structured Products 對衍生工具／結構性產品的認識

(a) Do you have any trading experience in derivatives / structured products?

閣下／ 貴公司有買賣衍生工具／結構性產品的經驗嗎？

- Yes 有

Please state the derivatives / structured products you have traded:

請列出曾買賣的衍生工具／結構性產品：

Derivatives / Structured Products 衍生工具／結構性產品	Average Portfolio Value 平均貨值 HK\$	Year(s) 年
<input type="checkbox"/> Derivative Warrants 認股證 (俗稱「窩輪」)		
<input type="checkbox"/> Callable Bull / Bear Contracts (CBBCs) 牛熊證		
<input type="checkbox"/> Futures / Option 期貨／期權		
<input type="checkbox"/> Equity Linked Instruments / Notes (ELI / ELN) 股票掛鈎票據		
<input type="checkbox"/> Credit Linked Notes (CLN) 信貸掛鈎票據		
<input type="checkbox"/> Others (please specify: _____) 其他 (請註明: _____)		

- No 沒有

(b) Approximate number of transactions in any derivatives / structured products in the past 3 years:

過去3年曾執行過有關任何衍生工具／結構性產品交易的次數大概為：

- Less than 5 times 少過5次
- 5 times or more 5次以上 (please specify 請註明: _____ times 次)

6. Investment Objectives and Experience (Continued) 投資目的及經驗(續)
(compulsory in accordance with regulatory requirements 按有關監管條例此欄必須填寫)

(c) Have you ever attended any course or seminars on derivatives / structured products?

閣下曾經參與任何有關衍生工具／結構性產品的課程或研討班嗎？

Yes 是 (Please state 請列出

Name of course or seminar 課程或研討班的名稱：

Duration of course or seminar 課程或研討班時數： _____ hour(s) 小時)

No 否

(d) Has any of your current or previous work experience/business been related to derivatives / structured products?

閣下／ 貴公司有任何現時或過去的工作經驗／業務與衍生工具／結構性產品有關嗎？

Yes 有 (Please state 請列出

Occupation/Business 職業／業務： _____

Name of Employer 僱主名稱： _____

Number of year exposed to these experiences/businesses
多少年有關經驗： _____ year(s) 年)

No 沒有

7. Related Account(s) (Continued) 關聯帳戶(續)

ii. Are you related to any of the directors, officers, employees or agents of CSC Securities (HK) Limited, CSC Futures (HK) Limited and/or its associated companies?

貴公司是否與群益證券(香港)有限公司、群益期貨(香港)有限公司及／或其附屬公司任何董事、高級職員、僱員或代理人有任何關連？

Yes, details of related person are as follows 是，關聯人士詳情如下：

Name 姓名	Relationship 關係

No 否

8. Trading Authorization 交易授權

Board resolution and list of person(s) authorized to give written and/or oral instructions in relation to the trading of the Account is enclosed.

附件為會議記錄及授權以書面及／或口頭指示本帳戶進行交易事宜的名單。

9. Ultimate Beneficial Owner(s) 最終實益擁有人

Are you the ultimate beneficial owner of the account?

貴公司是否帳戶的最終實益擁有人？

Yes 是

No, full name of the actual beneficiary(ies) of the account is/are:

否，帳戶實際受益人全名為：

10. Bank Account Information 銀行資料

All fund payable will be credited to the following bank account only.

請將款項存入以下銀行帳戶。

Name of Bank (in English) 銀行名稱 (請以英文填寫)	Account Number 帳戶號碼

11. Declaration 聲明

We hereby confirm that the information provided in this Customer Information Statement is complete and accurate in all respects. We hereby undertake and covenant with you to notify you in writing forthwith of any material change to that information. You are authorized to conduct credit enquiries to verify the information provided for the purpose of ascertain the financial situation and investment objectives of me.

本公司確認本「客戶資料表格」中所載資料均屬完整及正確。本公司承諾及保證倘若該等資料有任何重要變更，本公司將會立即以書面通知 貴公司。本公司特此授權 貴公司對本公司之信用進行查詢，以核實本公司之財政狀況及投資目標。



Authorized Person(s) & Company Chop
公司授權人簽署及公司蓋章

Name of Authorized Person(s)
授權人名稱

Date
日期