



For Office Use ONLY	
Account No.	

* Delete as appropriate 刪去不適用

CUSTOMER INFORMATION STATEMENT (JOINT ACCOUNT)

(to be filled out by the secondary account holder)

客戶資料表格 (聯名帳戶)

(由其他戶口持有人填寫)

Other Joint Account Holder 聯名帳戶其他戶口持有人

1. Personal Particulars 個人資料

Name (English 英文)
姓名

(Chinese 中文)

HKID Card/Passport* No.¹ 香港身份證/護照* 號碼¹ Place of Issue 簽發地

Nationality 國籍 Date of Birth (dd/mm/yy) 出生日期 (日/月/年)

Sex 性別 Martial Status 婚姻狀況

M 男 Single 單身 Married 已婚

F 女 Others 其他

Residential Address 住宅地址

(Postal Code 郵編)

Home Phone No. 住宅電話號碼 Office Phone No. 公司電話號碼

Mobile Phone No. 手提電話號碼 Fax No. 傳真號碼

Email Address 電郵地址

Are you an employee(s) or a consultant(s) of Licensed Corporation(s) or Registered Institution(s) with the Securities and Futures Commission ("SFC") in Hong Kong?

閣下是否香港證券及期貨監察委員會("證監會")持牌法團或註冊機構之職員或顧問?

Yes, enclosed please find the **consent letter** and license details are as follows 是, 現附上**同意書**而牌照詳情如下:

Name of Licensed Entity 持牌機構名稱	Type of Regulated Activity(ies) 受規管類別	CE No. 註冊編號

No 否

1. Please provide copy of HKID card/Passport. 請提供香港身份證/護照副本。

2. Financial Background 財務狀況

Employment Status 就業狀況
 Full Time Employed 全職
 Part Time Employed 兼職
 Others 其他 (please specify 請註明: _____)

Retired 退休人士
 Self-employed 自僱
 Student 學生
 Housewife 主婦

Name of Employer/Business²*
僱主/業務²* 名稱

Work/Business* Address²
工作/商業* 地址²

(Postal Code 郵編)

Occupation/Type of Business²*
職業/業務性質²*

Position
職位

Year(s) Employed
任職年期

Estimated Annual Income 估計年薪
 Less Than 少於 HK\$200,000
 HK\$200,001 - HK\$500,000
 HK\$500,001 - HK\$1,000,000

HK\$1,000,001 - HK\$5,000,000
 HK\$5,000,001 - HK\$10,000,000
 Over 多於 HK\$10,000,000

Residence
住屋

Self-owned 自置物業
 Mortgaged 按揭 (approx. net value less mortgage 估值扣除按揭:
HK\$ _____)
 Rented 租賃
 Living with Relative 與親戚同住
 Company Quarters 公司宿舍
 Others 其他

Approximate Net Asset Value³
淨資產值³

Less Than 少於 HK\$500,000
 HK\$500,001 - HK\$3,000,000
 HK\$3,000,001 - HK\$10,000,000

HK\$10,000,001 - HK\$50,000,000
 Over 多於 HK\$50,000,000

Source of Fund:
資金來源

Self-fund 自資
 Others 其他 (please specify 請註明: _____)

2. Applicable if self-employed. 自僱適用。

3. Not including place of residence, motor vehicles, furniture, personal belongings and any life insurance policies. 不包括居住地、汽車、傢俬、個人物品及人壽保險。

3. 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			

4. Investment Objectives and Experience 投資目的及經驗

(Note: You are required to fill in Part 4 ONLY IF you will place order or operate the relevant joint account

備註:如閣下將會下單或操作此聯名帳戶方需填寫第4部)

- 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: _____)

Anticipated Investment Products 預期投資產品

<input checked="" type="checkbox"/>	Product 商品	Anticipated Amount of Investment 預期投資金額 HK\$
<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: _____)	

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

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

5. Knowledge of Derivatives / Structured Products 對衍生工具／結構性產品的認識
(Note: You are required to fill in Part 5 ONLY IF you will place order or operate the relevant joint account
備註:如閣下將會下單或操作此聯名帳戶方需填寫第5部)

(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 (CBCBs) 牛熊證		
<input type="checkbox"/> Futures / Option 期貨／期權		
<input type="checkbox"/> Equity Linked Instruments / Notes (ELI / ELN) 股票掛鉤票據		
<input type="checkbox"/> Credit Linked Notes (CLN) 信貸掛鉤票據		
<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)

(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

6. Related Account(s) 關聯帳戶

- i. Is there any account (whether individual, joint, corporate or trustee) opened with CSC Securities (HK) Limited, CSC Futures (HK) Limited and/or its associated companies and is beneficially held, owned or operated by you or your spouse for or on behalf of any other person(s), body or corporation which you have an interest (whether direct or indirect)?

閣下或閣下的配偶有否實益持有、擁有或不論有直接或間接利益的情況下代表他人、公司運作與群益證券(香港)有限公司、群益期貨(香港)有限公司及／或其附屬公司開立的帳戶(無論個人、聯名、公司或託管)?

- Yes, particulars are as follows 是，詳情如下：

Account Name 帳戶名稱	Account Number 帳戶號碼

- No 否

- 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?

閣下是否與群益證券(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