



CAPITAL

**Customer Trading Agreement
(Custody-Internet Trading Account)**

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Individual / Joint Account

/

CSC SECURITIES (HK) LIMITED

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www.e-capital.com.hk

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(for office use only)

To: **CSC Securities (HK) Limited**
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CUSTOMER INFORMATION STATEMENT

(**INDIVIDUAL** / **JOINT**)

* Delete if not applicable

J as appropriate J

1. Name	In Chinese			
2. Account Name				
3 Personal Particulars				
Date of Birth	Sex	Martial Status		
HKID No. (or Passport No. and country of issue)		Nationality		
Residential address	owned	<input type="checkbox"/> Approx.net value (less mortgage) of property (): HK\$ _____		
_____	<input type="checkbox"/> Rented			
_____	<input type="checkbox"/> Living with relative			
Name of Employer (or if self employed, name of Business) ()				
Work or Business address				
Occupation (or type of Business)	Year(s) employed	Position		
Residential Phone No.	Business Phone No.	Facsimile No.	Mobile Phone No.	E-mail
Address for correspondence and forwarding of confirmations and statements				
<input type="checkbox"/> Residential address	<input type="checkbox"/> Business address	<input type="checkbox"/> Other (specify ()):		

4. (If married) Spouse's Personal Particulars ()			
Spouse's Name		Date of Birth	
Nationality	HKID No. (or Passport No. and country of issue)		
Name of employer (or if self employed, name of Business) ()			
Spouse's Work or Business address			
Occupation (or type of Business)		Year(s) employed	Position
5. Financial Background			
Estimated annual income (in HK\$) ()			
Less than	\$200,000.00	<input type="checkbox"/>	\$1,000,000.00 - \$5,000,000.00 <input type="checkbox"/>
	\$200,000.00 - \$500,000.00	<input type="checkbox"/>	\$5,000,000.00 - \$10,000,000.00 <input type="checkbox"/>
	\$500,000.00 - \$1,000,000.00	<input type="checkbox"/>	over \$10,000,000.00 <input type="checkbox"/>
Approximate net value of my assets (in HK\$) (not including place of residence, motor vehicles, furniture, personal belongings and any life insurance policies):			
() ()			
less than	\$500,000.00	<input type="checkbox"/>	\$10,000,000.00 - \$50,000,000.00 <input type="checkbox"/>
	\$500,000.00 - \$3,000,000.00	<input type="checkbox"/>	over \$50,000,000.00 <input type="checkbox"/>
	\$3,000,000.00 - \$10,000,000.00	<input type="checkbox"/>	
6 Credit Reference			
Bank references (including address, type of account and account number)			
()			
<u>Name of Bank(s)</u>	<u>Address</u>	<u>Type of Account</u>	<u>Account No.(s)</u>
_____	_____	_____	_____
_____	_____	_____	_____
Other Broker or Dealer references (including address, type of account (eg. cash or margin and nature of securities) and account number):			
() () ()			
<u>Name of Broker(s)</u>	<u>Address</u>	<u>Type of Account</u>	<u>Account No(s)</u>
_____	_____	_____	_____
_____	_____	_____	_____

7. Investment Objectives and Experience		
Investment Objectives		
Capital Investment and Income	<input type="checkbox"/>	Hedging <input type="checkbox"/>
Speculation	<input type="checkbox"/>	Other (specify) (): <input type="checkbox"/>
<hr/>		
Investment Experience		
Products	<u>Years</u>	<u>Average Portfolio Value (HK\$)</u> ()
Stock, Shares, Debentures or other Securities	_____	_____
Leveraged Foreign Exchange	_____	_____
Precious Metals	_____	_____
Futures/Option /	_____	_____
Others : (specify)	_____	_____
Other relevant investment experience:		

8. Other Accounts		
Particulars of any and all other accounts (whether individual, joint , corporate, trustee) beneficially held, owned or operated by me including my spouse for or on my behalf or for any other person(s), body or corporation or in which I have an interest (whether direct or indirect) with CSC Securities (HK) Limited or any of its subsidiaries or associated companies () ()		
<u>Account Name(s)</u>	<u>Account Number(s)</u>	
_____	_____	
_____	_____	
9. Trading Authorization		
Will the account be traded by other person(s) on my/our behalf? Yes <input type="checkbox"/> No <input type="checkbox"/>		
If Yes, please furnish signed Trading Authorization		
Client's relationship to authorized representative :		

10. Joint Account		
Where the account consists of more than one individual, each of the individuals hereby declares that the account is a joint account with right of survivorship.		
Customer Initials	3	

11	*Bank Account Information									
<p>All fund payable will be credited to my/our following bank account only /</p> <table style="width: 100%; border: none;"> <tr> <td style="width: 25%;"><u>Name of Bank</u></td> <td style="width: 25%;"><u>Address</u></td> <td style="width: 25%;"><u>Type of Account</u></td> <td style="width: 25%;"><u>Account Number</u></td> </tr> <tr> <td>_____</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> </table>		<u>Name of Bank</u>	<u>Address</u>	<u>Type of Account</u>	<u>Account Number</u>	_____	_____	_____	_____	
<u>Name of Bank</u>	<u>Address</u>	<u>Type of Account</u>	<u>Account Number</u>							
_____	_____	_____	_____							
12	Declaration									
<p>I hereby declare that I am the ultimate beneficial owner(s) of the account</p> <p>If not, please state the full name of the actual beneficiary(ies)</p> <p>_____</p>										
<p>I confirm that I am not related to any of your directors, officers or employees.</p> <p>If related, please state _____ :</p> <table style="width: 100%; border: none;"> <tr> <td style="width: 30%;">Name</td> <td style="width: 35%;">Company</td> <td style="width: 35%;">Relationship</td> </tr> <tr> <td>_____</td> <td>_____</td> <td>_____</td> </tr> </table>		Name	Company	Relationship	_____	_____	_____			
Name	Company	Relationship								
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<p>I confirm that I am not an employee or a consultant of Licensed Corporation or Registered Institution with the Securities and Futures Commission in Hong Kong.</p> <p>If yes, please state and enclose the consent from the relevant Licensed Corporation or Registered Institution to the application.</p> <table style="width: 100%; border: none;"> <tr> <td style="width: 33%;"><u>Name of Corporation</u></td> <td style="width: 33%;"><u>CE No</u></td> <td style="width: 34%;"><u>Type of Regulated Activity(ies)</u></td> </tr> <tr> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>_____</td> <td>_____</td> <td>_____</td> </tr> </table>		<u>Name of Corporation</u>	<u>CE No</u>	<u>Type of Regulated Activity(ies)</u>	_____	_____	_____	_____	_____	_____
<u>Name of Corporation</u>	<u>CE No</u>	<u>Type of Regulated Activity(ies)</u>								
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<p>I hereby confirm that the information provided in this Customer Information Statement is complete and accurate in all respects. I 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.</p>										
<p>x_____x 3</p> <p>Customer's Signature</p> <p>Print Full Name</p> <p>Date</p>										