



For Office Use ONLY	
Account No.	

\* Delete as appropriate 刪去不適用

**CUSTOMER INFORMATION STATEMENT (INDIVIDUAL/JOINT ACCOUNT)**  
**客戶資料表格 (個人/聯名帳戶)**

**Individual/First Joint Account Holder 個人/聯名帳戶第一戶口持有人**

**1. Personal Particulars 個人資料**

Name (English 英文)

姓名

(Chinese 中文)

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

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

Sex  M 男  F 女 Martial Status  Single 單身  Married 已婚  
 性別 婚姻狀況  Others 其他

Residential Address<sup>2</sup>

(Postal Code 郵編)

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

Mobile Phone No.  Fax No.   
 手提電話號碼 傳真號碼

Email Address<sup>3</sup>   
 電郵地址<sup>3</sup> @

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

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. 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。  
 3. All daily and/or monthly statements of account will be sent 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。

## 2. Financial Background 財務狀況

Employment Status 就業狀況

Full Time Employed 全職
  Retired 退休人士
  Student 學生  
 Part Time Employed 兼職
  Housewife 主婦
  Others 其他  
 Self-employed 自僱

Name of Employer/Business<sup>4</sup> \*  
僱主/業務<sup>4</sup> \* 名稱

Work/Business\* Address<sup>4</sup>  
工作/商業\* 地址<sup>4</sup>

 (Postal Code 郵編 )

Occupation/Type of Business<sup>4</sup> \*  
職業/業務性質<sup>4</sup> \*

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\$1,000,001 - HK\$5,000,000  
 HK\$200,001 - HK\$500,000
  HK\$5,000,001 - HK\$10,000,000  
 HK\$500,001 - HK\$1,000,000
  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
  Company Quarters 公司宿舍  
 Living with Relative 與親戚同住
  Others 其他

Approximate Net Asset Value<sup>5</sup>  
淨資產值<sup>5</sup>

Less Than 少於 HK\$500,000
  HK\$10,000,001 - HK\$50,000,000  
 HK\$500,001 - HK\$3,000,000
  Over 多於 HK\$50,000,000  
 HK\$3,000,001 - HK\$10,000,000

## 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	<input type="text"/>	<input type="text"/>	<input type="text"/>
	<input type="text"/>	<input type="text"/>	<input type="text"/>
Other Broker or Dealer Reference 其他經紀或交易商提述	<input type="text"/>	<input type="text"/>	<input type="text"/>
	<input type="text"/>	<input type="text"/>	<input type="text"/>

4. Applicable if self-employed. 自僱適用。

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

**4. 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 (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)

**4. 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

**5. 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

**6. Trading Authorization 交易授權**

Will the account be traded by other person(s) on your behalf?<sup>6</sup>

閣下的帳戶會否授權第三者交易?<sup>6</sup>

Yes 會

Name of Authorized Representative

被授權人姓名

Relationship with Authorized Representative

與被授權人關係

No 否

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

Are you the ultimate beneficial owner of the account?

閣下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:

**8. 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
<input type="text"/>	<input type="text"/>

**9. Declaration 聲明**

I / We hereby confirm that the information provided in this Customer Information Statement is complete and accurate in all respects. I / 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.

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

 \_\_\_\_\_  
 Signature of Individual/ Name Date  
 First Joint Account Holder 姓名 日期  
 個人 / 聯名帳戶第一戶口持有人簽署

 \_\_\_\_\_  
 Other Joint Account Holder<sup>7</sup> Name Date  
 聯名帳戶其他戶口持有人簽署<sup>7</sup> 姓名 日期

6. If Yes, please furnish signed Trading Authorization and provide HKID card/passport copy of authorized representative. 若會, 請提交交易授權書及被授權人之港身份證 / 護照副本。

7. Each Joint Account Holder must also submit the "Customer Information Statement (Joint Account)". 每位聯名帳戶戶口持有人必須同時提交"客戶資料表格(聯名帳戶)"。