

Account No.

帳戶號碼

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太陽國際証券有限公司  
Sun International Securities Limited

Unit 1201-1204 12/F China Merchants Tower  
Shun Tak Centre 168-200 Connaught Road Central HK  
香港中環干諾道中 168-200 號信德中心  
招商局大廈 12 樓 1201-1204 室  
Tel 電話: (852) 2869-4999 Fax 傳真: (852) 2869-4998  
Website 網址: [www.cnin.com](http://www.cnin.com)

Account Type     Cash     Margin  
帳戶類別        現金        保證金

### ACCOUNT OPENING FORM (INDIVIDUAL/JOINT ACCOUNT)

#### 帳戶開戶表 (個人/聯名帳戶)

Application for 申請帳戶為	<input type="checkbox"/> Individual Account 個人帳戶	<input type="checkbox"/> Joint Account 聯名帳戶
	<input type="checkbox"/> Online/Electronic Trading Service 網上/電子交易服務	

Please complete in BLOCK LETTERS 請用正楷書寫

#### Client Particulars 客戶資料

Primary Client 客戶		Joint Client 聯名客戶	
1. Mr/Ms/Mrs/Miss Name	先生/女士/太太/小姐 姓名	Mr/Ms/Mrs/Miss Name	先生/女士/太太/小姐 姓名
2. HKID Card No. / Passport No. and Issuing Country 香港身份證或護照號碼及發出國家		HKID Card No. / Passport No. and Issuing Country 香港身份證或護照號碼及發出國家	
3. Date of Birth (dd /mm /yyyy) 出生日期 (日/月/年)		Date of Birth (dd /mm /yyyy) 出生日期 (日/月/年)	
4. Home Address of Primary Client 客戶之住宅地址		Home Address of Joint Client 客戶之住宅地址	
5. Home Phone No. 與電話號碼	Mobile Phone No. 手提電話號碼	Home Phone No. 住宅電話號碼	Mobile Phone No. 手提電話號碼
6. Home Fax No. 住宅傳真號碼	E-mail Address 電郵地址	Home Fax No. 住宅傳真號碼	E-mail Address 電郵地址

#### Business / Employment Status 業務/工作狀況

7. Name of Current Employer 目前僱主名稱		Name of Current Employer 目前僱主名稱	
8. Position 職位	Years of Service 任職年期	Position 職位	Years of Service 任職年期
9. Nature of Business 業務性質		Nature of Business 業務性質	
10. Office Phone No. 公司電話號碼	Office Fax No. 公司傳真號碼	Office Phone No. 公司電話號碼	Office Fax No. 公司傳真號碼

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### Marital Status 婚姻狀況

12. Marital Status

- Married 已婚 Your spouse's name is 你的配偶姓名是 \_\_\_\_\_
- Single 單身  Other 其他 \_\_\_\_\_

Is your spouse a client of the Company? 你的配偶是否本公司的客戶?

- Yes 是  No 否

13. Are you, either alone or with your spouse, in control of 35% or more of the voting rights of any client account of Sun International Securities Limited?  
客戶有否個人或與配偶共同控制 35%或以上投票權的太陽國際證券有限公司帳戶?

- No 否  Yes, 是, Client Name 客戶名稱 \_\_\_\_\_ Client number 客戶編號 \_\_\_\_\_

Please provide information for items 14 and 16 so that the Company may offer the best advice to you.

請提供第 14 及 16 項的資料，本公司會根據資料提供予客戶最好的建議。

### Financial Status 財務狀況

14. Your financial information 客戶財務資料

- a. Estimated annual Income 估計全年收入
- <HK\$100,000
  - HK\$100,001 – HK\$500,000
  - HK\$500,001 – HK\$1,000,000
  - >HK\$1,000,000
- Remark: \_\_\_\_\_
- \_\_\_\_\_
- b. Net Asset Value 資產淨值
- <HK\$500,000
  - HK\$500,001 – HK\$1,000,000
  - HK\$1,000,001 – HK\$5,000,000
  - >HK\$5,000,000
- c. Ownership of Residence 住屋業權
- Owned 擁有
  - Mortgaged 已抵押
  - Quarters 宿舍
  - Not owned 沒有
  - Rented 租住

### Investment Experience 投資經驗

15. Your investment experience 客戶投資經驗

- a. Do you have the experience of investment in the following products?  
閣下是否擁有投資下列產品的經驗?
- HK listed stocks 香港上市股票
  - Overseas listed stocks 海外上市股票
  - HK Futures & Options 香港期貨和期權
  - Overseas Futures & Option 海外期貨和期權
  - Forex / Precious Metals 外匯 / 貴金屬
- b. Investment Experience 投資年期
- Less than 3 years 少於三年
  - 3 - 10 years 三至十年
  - Over 10 years 十年以上
- c. Investment Objective 投資目的
- Dividend Income 股息收入
  - Long Term Capital Gain 長線資本增值
  - Speculative Gain 投機增值

### Investment Profile 投資概況

16. Risk Tolerance 可承受風險

- Low 低風險  Medium 中等風險  High 高風險

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**Correspondence Address 通訊地址**

17. All correspondence including Statements of Accounts are to be sent to (Choose one only 祇可選擇一種)

 E-mail Address 電郵地址 Home Address 住宅地址 Office Address 公司地址 Fax No. 傳真號碼

Mailing Address (If different from home address) 郵寄地址 (若與住宅地址不同):

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**Bank Account Details 銀行帳戶資料**

Unless otherwise instructed by you, all monies payable to you are to be credited to the following bank account

除經客戶另行指示外，須付予客戶的款項將會被轉入下列銀行帳戶

18. Bank Name 銀行名稱

22. Bank Account Holder's Name 帳戶持有人名稱

19. Bank Account Number 帳戶號碼

24. If bank account is outside Hong Kong, please state location and SWIFT code 若為香港以外銀行帳戶，請提供地區及 SWIFT 編號

**Declaration 聲明**

20. Are you the ultimate beneficial owner(s) in relation to the Account? 閣下是否此帳戶的最終實益擁有人?

 Yes 是  No 不是, detail of the ultimate beneficial owner is (if more than one, please specify on an additional paper):  
 否，帳戶最終實益擁有人是 (如多於一位，請另紙說明)

Name 姓名

HKID/ Passport No. 香港身份證/護照號碼

Phone 電話

Address 地址

21. Are you an immediate family member of any director or employee of the Company? 閣下是否與本公司任何僱員有直屬關係?

 No 不是  Yes 是, such employee's name is 僱員姓名為: \_\_\_\_\_

22. Are you an employee of any licensed or registered corporate with Hong Kong SFC? 閣下是否其他香港證監會持牌或註冊機構的僱員?

 No 不是  Yes 是, CE Number / 中央編號是 \_\_\_\_\_
**Instruction Arrangement For Joint Account 聯名帳戶指示安排 (For Joint Account only 祇適用於聯名帳戶)**

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

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"✓"號)

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

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**Third Party Assets 第三方資產**

24. Whether your business involves handling third party assets (e.g. fund manager, stockbrokers) ?

閣下的業務是否涉及處理第三者的資產 (如基金經理·股票經紀) ?

No. 否  Yes 是, please answer the following questions 是,請回答以下問題

a Has your institution (including foreign branches and subsidiaries, if any) established written policies and implemented internal procedures and controls to combat money laundering?

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?

Yes 是  No 否

b Are there documented procedures of your institution for reporting suspicious activities and transactions to the appropriate authorities? 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?

Yes 是  No 否

c 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? 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?

Yes 是  No 否

**Client Acknowledgement and Declaration 客戶確認及聲明**

In consideration of your agreeing at my/our request to open and maintain a \*securities trading cash account / securities trading margin account (each a "Securities Account"):

1. I/We, whose particulars are specified in this Account Opening Form, acknowledge receipt of the \*Securities Trading Cash Client Agreement / Securities Trading Margin Client Agreement and/or Online/Electronic Trading Services Agreement (the "relevant Agreement(s)").
2. We confirm that I/we have read and fully understand and agree to be bound by all the terms and conditions of the relevant Agreement(s), which you may amend from time to time, applicable to me/us with regard to the type of Securities Account opened by me/us and the method of placing orders selected by me/us.
3. I/We hereby declare that the information given by me/us in this Account Opening Form (Individual/Joint Account) is true, complete and accurate. You are entitled to rely fully on such information and representations for all purposes, unless notice in writing of any change is received by you from me/us. You are authorised at any time to contact anyone, including my/our bankers, brokers or any credit agency, for purposes of verifying the information provided in this Account Opening Form (Individual/Joint Account).
4. If I/we have both a cash securities trading account and a margin securities trading account, I/we agree that unless I/we give you prior notification in advance in respect of each transaction, all transactions contemplated under the relevant Agreement shall be effected through the margin securities trading account.
5. I/We acknowledge and confirm that I/we have been provided with the Risk Disclosure Statement in language of my/our choice (English or Chinese) and I/we have been invited to read the Risk Disclosure Statement, to ask questions and take independent advice if I/we wish.

因應貴公司同意按本人(等)的要求開立及維持 \*現金證券交易帳戶及/保證金證券交易帳戶 (各稱為「證券帳戶」):

1. 本人(等)·如帳戶開戶表所載·確認收妥 \*證券交易現金客戶協議書/證券交易保證金客戶協議書及/或網上/電子交易服務協議書( "有關協議書" )。
2. 本人(等)確認已閱讀及明白本人(等)會受適用於本人(等)開立的證券帳戶類別及所選的落盤方式的有關協議書目前所載及經不時修訂的條款及細則所約束。
3. 本人(等)聲明本帳戶開戶表 (個人 / 聯名帳戶) 的資料均屬真實、完整及正確。貴公司完全可以為任何目的依賴這些資料及陳述·除非貴公司收到任何本人(等)資料改變的書面通知。本人(等)授權貴公司在任何時間聯絡任何人·包括本人(等)的銀行、經紀或任何信貸機構·藉以確定及查帳戶開戶表 (個人 / 聯名帳戶) 的資料。
4. 倘若本人(等)同時擁有現金證券交易帳戶及保證金證券交易帳戶·本人(等)同意·除非本人(等)就每宗交易事先通知貴公司·否則有關協議書下預期的一切交易應透過保證金證券交易帳戶進行。
5. 本人(等)確認貴公司已按照本人 (等) 選擇的語言 (中文或英文) 提供風險披露聲明書·及已獲邀閱讀該風險披露聲明書·提出問題及徵求獨立的意見 (如本人(等)有此意願)。

X

Primary Client Signature 客戶簽署

X

Joint Client Signature 聯名客戶簽署

Primary Client Name 客戶姓名

Date 日期

Joint Client Name 聯名客戶姓名

Date 日期

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**FOR OFFICIAL USE ONLY 以下由太陽國際證券有限公司填寫**

I, being a licensed representative of Sun International Securities Limited, hereby declare and confirm that I have provided the \*Securities Trading Cash Client Agreement / Securities Trading Margin Client Agreement and Risk Disclosure Statement and/or Online/Electronic Trading Services Agreement in a language of the Client's choice (English or Chinese) and have invited the Client(s) to read the \*Securities Trading Cash Client Agreement / Securities Trading Margin Client Agreement and Risk Disclosure Statement and/or Online/Electronic Trading Services Agreement, ask questions and take independent advice if the Client / Joint Client wishes.

本人為太陽國際證券有限公司的註冊代表，並謹此聲明及確認本人已按照上述客戶/聯名客戶所選擇的語言（中文或英文）提供 \*證券交易現金客戶協議書/證券交易保證金客戶協議書及風險披露聲明書及/或網上/電子交易服務協議書並已邀請客戶閱讀該 \*證券交易現金客戶協議書/證券交易保證金客戶協議書及風險披露聲明書及/或網上/電子交易服務協議書，並提出問題及徵求獨立的意見（如客戶/聯名客戶有此意願）。

# The above Client/Joint Client signature(s) was/were made in my/our presence (Note 1).

# 以上客戶/聯名客戶簽署乃於本人面前簽立（備註 1）。

\_\_\_\_\_  
Signature of Licensed Representative

公司註冊代表簽署

\_\_\_\_\_  
Name and CE No. of Licensed Representative

公司註冊代表的姓名及中央號碼

\_\_\_\_\_  
Date (dd/mm/yyyy)

日期(日/月/年)

\_\_\_\_\_  
Authorised Signature

獲授權代表簽署

\_\_\_\_\_  
Name of Approving Officer of the Company

太陽國際證券有限公司批核主任名稱

\_\_\_\_\_  
Date (dd/mm/yyyy)

日期(日/月/年)

Notes 備註:

1. If this Form is not executed by the Client(s) in front of an employee or account executive of the Company, this Form must be signed and certified by any other licensed or registered person, an affiliate of the Company, a Justice of Peace, or a professional person such as a branch manager of a bank, a certified public accountant, a lawyer or a notary public.

如此開戶表格並非在本公司的僱員或持牌經紀面前簽署，客戶必須在其他持牌人或註冊人、太平紳士、銀行分行經理、執業會計師、律師或公證人簽署及加以驗證。

\* Be deleted if not applicable 請刪去不適用者。