

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

Client Information Sheet

客戶資料書

Please complete in BLOCK LETTERS 請用正楷書寫

Client Particulars 客戶資料

1. Mr/Ms/Mrs/Miss	2. 先生/女士/太太/小姐
3. HKID Card No. / Passport No. and Issuing Country 香港身份證或護照號碼及發出國家	4. Date of Birth (dd/mm/yyyy) 出生日期 (日/月/年)
5. Home Address 客戶之住宅地址	
6. Home Phone No. 住宅電話號碼	7. Mobile Phone No. 手提電話號碼
8. Home Fax No. 住宅傳真號碼	9. E-mail Address 電郵地址

Employment Status 工作狀況

10. Name of Current Employer 目前僱主名稱	11. Nature of Business 業務性質
12. Years of Service 任職年期	13. Position 職位
14. Office Phone No. 公司電話號碼	15. Office Fax No. 公司傳真號碼
16. Office Address 公司地址	

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Marital Status 婚姻狀況

17. 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

18. Is /are your spouse / you/ you together, in control of 35% or more of the voting rights of any client of Sun International Securities Limited?

客戶個人或配偶共同控制或獨立控制太陽國際證券有限公司的帳戶擁有 35% 或以上的投票權?

No 否 Yes, 是, Client Name 帳戶名稱 _____ Client number 帳戶編號 _____

Correspondence Address 通訊地址

19. 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

Please provide information for items 20 and 22 so that the Company may offer the best advice to you.

請提供第 20 及 22 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

20 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
- 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

21 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

22 Risk Tolerance 可承受風險

Low 低風險

Medium 中等風險

High 高風險

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Disclosure of Identity 聲明

23. 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, employee name · 僱員姓名: _____

24. Are you or your employer licensed or registered with Hong Kong SFC and/or other Regulatory? 閣下是否香港證監會持牌人及/或註冊人其他監管機構?

No 不是 Yes 是, _____

Third Party Assets 第三方資產

25. 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, 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

Declaration by client 聲明

I hereby confirm that the information provided above is true and complete. I also understand and agree that the Company will rely on the above information provided to you for opening the account with the Company.

本人確認上述資料真實及完整 · 並明白及同意貴公司將根據以上提供之資料開立帳戶

Client Signature 客戶簽署

Date :