

Tianda Securities Limited ("TSL" or the "Company") carries on the business of dealing in securities and futures contracts and is licensed to carry on Type 1 (dealing in securities) and Type 2 (dealing in futures contracts) regulated activities under the Securities and Futures Ordinance (Cap. 571) (CE No. AVT666).

天大証券有限公司("天大証券"或"本公司")經營的是證券及期貨合約交易的業務,並根據證券及期貨條例(第571章)獲發牌經營第一類(證券交易)及第二類(期貨合約交易)受規管活動(中央編號:AVT666)。

Account no. 帳戶號碼:

## CLIENT INFORMATION SHEET

### 客戶資料書

Please complete in BLOCK LETTERS 請用正楷填寫

1. Personal Information 個人資料			
Last Name 姓	First Name 名 (In English 英文)	Last Name 姓	First Name 名 (In Chinese 中文)
		Gender 性別 <input type="checkbox"/> M 男 <input type="checkbox"/> F 女	
ID Card /Passport No. 身份證/護照號碼		Date of Birth(dd/mm/yy) 出生日期(日/月/年)	
Residential Address 居住地址		Country of Issue 簽發國家	
Correspondence Address (if different from Residential Address) 通訊地址 (如與居住地址不同)		Nationality/Citizenship 國籍/公民身份	
E-mail Address 電郵地址			
Home Tel. No. 住宅電話號碼	Mobile Phone No. 手提電話號碼	Office Tel. No. 公司電話號碼	Fax No. 傳真號碼
Education Level 教育程度: <input type="checkbox"/> Primary 小學 <input type="checkbox"/> Secondary 中學 <input type="checkbox"/> University 大學 <input type="checkbox"/> Master degree or above 碩士或以上			
2. Marital Status 婚姻狀況			
<input type="checkbox"/> Single 單身 <input type="checkbox"/> Married 已婚 <input type="checkbox"/> Divorced 離婚 If Married, please provide name of spouse and information as below 如已婚,請提供配偶姓名及以下資料			
Name of Spouse 配偶姓名		Spouse's ID Card No. 配偶身份證號碼	
		Country of Issue 簽發國家	
3. Occupation/Employment Status 職業/就業情況			
Name of Employer 僱主名稱		Job Title 職位	
		Nature of Business 業務性質	
Office Address 公司地址		Year(s) with Employer 受僱年期	
4. Financial Situation 財務狀況			
i)	Annual Income(HKD) 每年收入(港元) <input type="checkbox"/> <\$200,000 <input type="checkbox"/> \$200,000 – \$500,000 <input type="checkbox"/> \$500,001– \$1,000,000 <input type="checkbox"/> >\$1,000,000* (please specify 請註明) _____		
ii)	Net Worth(HKD) 資產淨值(港元) <input type="checkbox"/> <\$500,000 <input type="checkbox"/> \$500,000 – \$1,000,000 <input type="checkbox"/> \$1,000,001 – \$5,000,000 <input type="checkbox"/> >\$5,000,000		
iii)	Ownership of Residence 住屋業權 <input type="checkbox"/> Owned 擁有 <input type="checkbox"/> Rented 租住 <input type="checkbox"/> Living with family 與家人同住 <input type="checkbox"/> Mortgaged 有抵押 <input type="checkbox"/> Not mortgaged 沒有抵押		
iv)	Home Mortgage Loan and Personal Loan 自住房屋按揭貸款及其他私人貸款 <input type="checkbox"/> Yes 有 (Total 總額: HK\$ _____) <input type="checkbox"/> No 沒有		

5. Investment Experience 投資經驗	
i)	Products產品 <input type="checkbox"/> Stocks/Investment Funds股票/投資基金 <input type="checkbox"/> Derivatives(Futures/Options/Warrants) 衍生工具(期貨/期權/認股權證) <input type="checkbox"/> Bonds債券 <input type="checkbox"/> Foreign Currencies外幣 <input type="checkbox"/> Others其他: _____
ii)	Experience(in year(s))經驗(年) <input type="checkbox"/> less than 1 year少於1年 <input type="checkbox"/> 1-3 years年 <input type="checkbox"/> 4-5 years年 <input type="checkbox"/> 6-10 years年 <input type="checkbox"/> more than 10 years超過10年
6. Investment Objectives and Risk Tolerance 投資目的及可承受風險	
i)	Investment Objectives 投資目的 <input type="checkbox"/> Capital Gain資本增值 <input type="checkbox"/> Hedging對沖 <input type="checkbox"/> Income收入 <input type="checkbox"/> Speculation投機 <input type="checkbox"/> Others(please specify) 其他(請註明) _____
ii)	Risk Tolerance•可承受風險• <input type="checkbox"/> Low低風險 <input type="checkbox"/> Medium中等風險 <input type="checkbox"/> High高風險 (•Securities Margin Account belongs to Medium and/or High risk categories.證券保證金買賣帳戶屬於“中等風險”及/或“高風險”類別。)
7. Client's Knowledge of Derivative Products 客戶對衍生產品的認識	
<p>The Client acknowledges and understands the Company will assess whether the Client has adequate knowledge on derivative products according to the information the Client provided.</p> <p>客戶知悉及明白公司將根據以下的資料以評估客戶是否對衍生工具產品有認識。</p> <p><input type="checkbox"/> 1. The Client underwent training or attended courses on derivative products. 客戶曾接受有關衍生產品的培訓或修讀相關課程。</p> <p><input type="checkbox"/> 2. The Client has current or previous work experience related to derivative products. 客戶現時或過去擁有與衍生產品有關的工作經驗。</p> <p><input type="checkbox"/> 3. The Client has executed five or more transactions within the past three years in derivative products, e.g. Derivative Warrants, Callable Bull/Bear Contracts, Stock Options, Futures and Options, Commodities, Structured Products, and Exchange Traded Funds, etc. 客戶於過去 3 年曾執行 5 次或以上有關衍生產品的交易，例如：衍生權證、牛熊證、股票、期權、期貨及期權、商品、結構性產品及交易所買賣基金等。</p> <p><input type="checkbox"/> 4. The Client has <b>NOT</b> acquired knowledge of derivative products. 客戶沒有衍生工具之認識。</p>	
8. Disclosure of Identity 披露身份	
i)	Is the Client related to any employee or director of the Company or its associated companies? 客戶是否與本公司或其聯營公司之任何僱員或董事有任何親屬關係？ <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 (Please provide details below 請填寫以下資料) Name of employee / director 僱員/董事姓名 : _____ Relationship 關係 : _____
ii)	Is the Client's spouse a client of the Company? 客戶之配偶是否本公司之客戶？ <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 (Please provide details below 請填寫以下資料) Name of the spouse 配偶姓名 : _____ Account No. 帳戶號碼 : _____
iii)	Does the Client and/or the Client's spouse control 35% or more of the voting rights of any client of the Company? 客戶及/或客戶之配偶是否控制本公司任何客戶的 35%或以上的表決權？ <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 (Please provide details below 請填寫以下資料) Name of the controlled client 受控制客戶名稱 : _____ Account No. 帳戶號碼 : _____
iv)	Is the Client a person, or director or employee of a person licensed by or registered with the SFC or an accredited person of any exchange participant of the Stock Exchange or Futures Exchange? 客戶是否為證監會發牌或註冊人士或聯交所或期交所之交易所參與者或該人士之董事或僱員或認可人士？ <input type="checkbox"/> No <input type="checkbox"/> Yes, the Client is a director or an employee or an accredited person of the following exchange participant of the Stock Exchange or Futures Exchange or licensed or registered person of the Securities and Futures Commission: (Please provide details) 是，客戶為以下聯交所或期交所之交易所參與者或證監會之持牌人或註冊人之董事、僱員或認可人士：(請詳述) Name of the licensed or registered person 持牌或註冊人士姓名/名稱: _____ * Please attach the consent letter from the licensed or registered person.請提供持牌或註冊人士同意信。
* The Client undertakes to promptly notify the Company if the Client becomes employed by any licensed or registered person to carry on regulated activities within the meaning of the Securities and Futures Ordinance. * 客戶承諾若其受聘於任何持牌或註冊人士以進行證券及期貨條例所指的受規管活動，會盡快通知本公司。	

**9. Client's Declaration for Data Protection 客戶個人資料保障聲明**

The Client has carefully read, fully understood and agreed to accept and be bound by the Section IX Notice To Clients Relating To The Personal Data (Privacy) Ordinance ("NTC") in TSL's Terms and Conditions.

客戶已仔細閱讀，完全理解並同意接受並遵守載於天大證券的交易條款及條件中第九章關於《個人資料(私隱)條例》致客戶的解釋說明(「該說明」)。

The Client hereby consents to the contents of the NTC and the use of the data by TSL in direct marketing.

客戶謹此同意該說明的所有內容及同意天大證券使用其個人資料作直接促銷用途。

Please tick the box below if disagree:

如不同意，請在以下空格加上「✓」號

- The Client does not consent to the use of his/her personal data in direct marketing for financial, securities, commodities, derivatives, investment, financing, insurance, MPF/ORSO, wealth management, investor education and related services, products and facilities, reward, loyalty or privileges programmes or donations and contributions for charitable and/or non-profit making purposes.

客戶不同意天大證券使用其個人資料於直接促銷金融、證券、商品、衍生產品、投資、信貸、保險、強積金/職業退休計劃、財富管理、投資者教育及相關服務、產品及設施，獎賞、年資獎勵或優惠計劃或慈善及/或非牟利目的而作出之捐款及捐贈。

**10. Acknowledgement by Client 客戶的確認**

I, the undersigned Client, confirm that information contained in this Client Information Sheet is true and accurate. \*Specimen Signature herein will be used to verify all written instructions given relating to the operation of the Account(s). Unless TSL receives notice in writing of any change, TSL is entitled to reply fully on such information and representations for all purpose. TSL is authorized at any time to contact anyone, including your banks, brokers or any credit agency, for the purpose of verifying the information provided on this Client Information Sheet. A copy of TSL's Client Information Sheet is available upon request.

本人，下述簽署客戶，確認資料書均屬真實及正確。\*簽署式樣將被用作核證任何帳戶運作之書面指示。除非天大證券收到任何客戶資料改變通知，天大證券完全可以依靠這些資料及陳述作任何目的。客戶授權天大證券可在任何時間聯絡任何人，包括客戶的銀行、經紀等或任何信貸機構，藉以確定及查證本客戶資料書內的資料。客戶可隨時索閱天大證券的客戶資料書副本。

\_\_\_\_\_ X \_\_\_\_\_ X \_\_\_\_\_  
**Client Name 客戶姓名**                                      **Client Signature/Specimen \*客戶簽署/簽署式樣\***                                      **Date(dd/mm/yy)日期(日日/月月/年年)**

**11. Witness Signature 見證人簽署**

**IF THE DOCUMENT IS NOT EXECUTED BY THE CLIENT(S) IN FRONT OF TSL's EMPLOYEE/LICENSED OR REGISTERED STAFF OR SUBMITTED WITH AN APPROPRIATE CHEQUE ☉, BELOW SHOULD BE SIGNED BY A SPECIFIED PERSON § [if applicable]**

若客戶並非在天大證券的僱員/持牌或註冊人員面前簽立此文件或連同適當的支票 ☉ 一併遞交，則以下應由指定人士 § 簽署〔若適用者〕

The undersigned person hereby certifies the signing of this document by the above Client and sighting of related identity documents of such Client. 下述簽署人士謹此驗證上述客戶簽立此文件及其有關的身份證明文件:-

<b>Witness Signature 見證人簽署</b>	<b>Witness Name 見證人姓名</b>
	_____
<b>Date(dd/mm/yy)日期(日日/月月/年年)</b> _____	<b>ID Card/Passport/CE No.</b> 身份證/護照/CE 編號 : _____
	<b>Occupation of Witness 見證人職務</b> : _____

Contact details 聯絡資料

Tel. No. 電話號碼 : \_\_\_\_\_ E-mail Address 電郵地址 : \_\_\_\_\_

☉ A crossed cheque bearing your name shown in your identity document and drawn on your account with a licensed bank in Hong Kong with your same signature(s) as shown in this Form in favour of "Tianda Securities Limited" for not less than HKD10,000 (or such other amount as may be advised by TSL. Your approved new account will not be activated until the cheque is cleared.  
 客戶在香港的持牌銀行開立的帳戶並由客戶所簽發(該簽名須與此開戶表上的客戶簽名相符)並載有客戶在其身份證明文件上所顯示的姓名的劃線支票，而該支票抬頭人須為“天大證券有限公司”及其數額不得少於 10,000 港元(或天大證券通知客戶的其他數額)。客戶被批核的新帳戶必須待支票兌現後才可使用。

§ Any SFC licensed or registered person, an affiliate of such person, a Justice of the Peace, a Branch Manager of a bank, Certified Public Accountant, Lawyer or Notary Public.  
 任何香港證監會持牌人或註冊人、其聯繫人士、太平紳士、銀行分行經理、執業會計師、律師或公證人。