

## 客戶資料表格 CLIENT INFORMATION STATEMENT (Individual 個人/ Joint 聯名)

Account Name  
帳戶名稱 : \_\_\_\_\_

Account No.  
帳戶號碼 : \_\_\_\_\_

### Primary Applicant Particulars 第一申請人資料

#### Personal Information 個人資料

Last Name 姓 : \_\_\_\_\_ Given Name 名 : \_\_\_\_\_ 中文姓名 : \_\_\_\_\_

Date of Birth 出生日期 : \_\_\_\_\_ D 日 \_\_\_\_\_ M 月 \_\_\_\_\_ Y 年 Sex 性別 :  Male 男  Female 女

Marital Status 婚姻狀況 :  Single 未婚  Married 已婚  Other 其他

HKID/ Passport No. 香港身份證或護照號碼 : \_\_\_\_\_ Nationality 國籍 : \_\_\_\_\_

Residential Address 住宅地址 : \_\_\_\_\_  
Room/Flat 室 \_\_\_\_\_ Floor 層 \_\_\_\_\_ Block 座 \_\_\_\_\_ House 樓 \_\_\_\_\_ Building/Estate 大廈/屋村 \_\_\_\_\_

No. and Name of Street 門牌號碼及街道名稱 \_\_\_\_\_ District 地區 \_\_\_\_\_  
 Owned 擁有  Rented 租用  Living with Relative 與親戚同住  
Approx. net value (less mortgage) of property 估值 (扣除按揭) : HK\$ \_\_\_\_\_

Name of Employer (or if self-employed, please specify name of business) 僱主名稱(若自僱, 請填業務名稱) : \_\_\_\_\_

My current employer is registered with the Securities and Futures Commission 現任僱主是否於證券及期貨事務監察委員會註冊 :  No 否  Yes, I enclose my current employer's consent with the application 是, 現附上現任僱主的同意書

Work or Business Address 工作或商業地址 : \_\_\_\_\_

Occupation (or Nature of Business) 職業或業務性質 : \_\_\_\_\_ Year(s) Employed 任職年期 : \_\_\_\_\_ Position 職位 : \_\_\_\_\_

Residential Phone No. 住宅電話 : \_\_\_\_\_ Business Phone No. 公司電話 : \_\_\_\_\_ Facsimile No. 傳真號碼 : \_\_\_\_\_ Mobile Phone No. 手提電話 : \_\_\_\_\_

E-mail Address 電子郵箱 : \_\_\_\_\_

Address for correspondence and forwarding of confirmations and statements 單據及確認往來地址 :

Residential Address 住宅地址  E-mail Address 電子郵箱  Business Address 公司地址  
 Others (please specify) 其他 (請註明) : \_\_\_\_\_

#### Financial Background 財務狀況

Estimated annual income (in HK\$) 估計年薪 (以港幣計) :  
 less than 少於 \$200,000  \$200,000 - \$500,000  \$500,000 - \$1,000,000  \$1,000,000 - \$5,000,000  
 \$5,000,000 - \$10,000,000  over 多於 \$10,000,000

Approximate net value of my assets (in HK\$) (not including place of residence, motor vehicles, furniture, personal belongings and any life insurance policies) 淨資產 (以港幣計) (不包括居住地方、汽車、傢俬、個人物品及人壽保險):  
 less than 少於 \$200,000  \$200,000 - \$500,000  \$500,000 - \$1,000,000  \$1,000,000 - \$5,000,000  
 \$5,000,000 - \$10,000,000  over 多於 \$10,000,000  Negative 負資產

#### Bank Account Information 銀行資料

All monies payable will be credited to this account only 所有款項支付將只轉帳進此銀行帳戶 :  
Name of Bank 銀行名稱 \_\_\_\_\_ Address 地址 \_\_\_\_\_ Type of Account 帳戶類別 \_\_\_\_\_ Account Number 帳戶號碼 \_\_\_\_\_

#### Credit Reference 信貸參考

Bank References (including address, type of account and account number) 銀行提述 (包括地址、帳戶類別及號碼) :  
Name of Bank 銀行名稱 \_\_\_\_\_ Address 地址 \_\_\_\_\_ Type of Account 帳戶類別 \_\_\_\_\_ Account Number 帳戶號碼 \_\_\_\_\_

Other Brokerage or Dealer References (including address, type of account (e.g. cash or margin and nature of securities) and account number) 其他經紀或交易商提述 (包括地址、帳戶類別 (現金或保證金及證券性質) 及帳戶號碼) :  
Name of Broker 經紀名稱 \_\_\_\_\_ Address 地址 \_\_\_\_\_ Type of Account 帳戶類別 \_\_\_\_\_ Account Number 帳戶號碼 \_\_\_\_\_

## Investment Objectives and Experience 投資目的及經驗

### Investment Objectives 投資目的

- Capital Investment and Income 資本投資及收入  Hedging 對沖  Speculation 投機  
 Others (please specify) 其他 (請註明) : \_\_\_\_\_

### Investment Experience 投資經驗

- Debentures or Other Securities 股票、債券及其他證券  
 Leveraged Foreign Exchange 槓桿外匯  
 Precious Metals 貴重金屬  
 Futures / Options 期貨/期權  
 Derivatives Products 衍生產品  
 Others (please specify) 其他 (請註明)

Other Relevant Investment Experience 其他相關投資經驗

Years 年	Average Portfolio Value (HK\$) 平均貨值 (以港幣計)	No. of Transactions within Latest 3 Years 最近三年內的交易次數
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

## Other Accounts 其他帳戶

Particulars of any and all other accounts (whether individual, joint, corporate, trustee) beneficially held, owned or operated by me 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 LT Securities Limited or any of its subsidiaries or associated companies 其他帳戶詳情 (無論個人、聯名、公司、託管), 本人或本人代表他人、公司、有直接或間接利益在利通證券有限公司及其附屬或聯營公司由本人實益持有、擁有或運作

Account Name 帳戶名稱

Account Number 帳戶號碼

## Secondary Applicant Particulars 第二申請人資料 (For Joint Account Only 只適用於聯名帳戶)

### Personal Information 個人資料

Last Name 姓 : \_\_\_\_\_ Given Name 名 : \_\_\_\_\_ 中文姓名 : \_\_\_\_\_

Date of Birth 出生日期 : \_\_\_\_\_ D 日 \_\_\_\_\_ M 月 \_\_\_\_\_ Y 年 Sex 性別 :  Male 男  Female 女

Marital Status 婚姻狀況 :  Single 未婚  Married 已婚  Other 其他

HKID/ Passport No. 香港身份證或護照號碼 : \_\_\_\_\_ Nationality 國籍 : \_\_\_\_\_

Residential Address 住宅地址 : \_\_\_\_\_

Room/Flat 室 \_\_\_\_\_ Floor 層 \_\_\_\_\_ Block 座 \_\_\_\_\_ House 樓 \_\_\_\_\_ Building/Estate 大廈/屋村 \_\_\_\_\_

No. and Name of Street 門牌號碼及街道名稱 \_\_\_\_\_ District 地區 \_\_\_\_\_

Owned 擁有  Rented 租用  
Approx. net value (less mortgage) of property 估值 (扣除按揭) : HK\$ \_\_\_\_\_  Living with Relative 與親戚同住

Name of Employer (or if self-employed, please specify name of business) 僱主名稱(若自僱, 請填業務名稱) : \_\_\_\_\_

My current employer is registered with the Securities and Futures Commission 現任僱主是否於證券及期貨事務監察委員會註冊 :  No 否  Yes, I enclose my current employer's consent with the application 是, 現附上現任僱主的同意書

Work or Business Address 工作或商業地址 : \_\_\_\_\_

Occupation (or Nature of Business) 職業或業務性質 : \_\_\_\_\_ Year(s) Employed 任職年期 : \_\_\_\_\_ Position 職位 : \_\_\_\_\_

Residential Phone No. 住宅電話 : \_\_\_\_\_ Business Phone No. 公司電話 : \_\_\_\_\_ Facsimile No. 傳真號碼 : \_\_\_\_\_ Mobile Phone No. 手提電話 : \_\_\_\_\_

E-mail Address 電子郵箱 : \_\_\_\_\_

### Financial Background 財務狀況

Estimated annual income (in HK\$) 估計年薪 (以港幣計) :

- less than 少於 \$200,000  \$200,000 - \$500,000  \$500,000 - \$1,000,000  \$1,000,000 - \$5,000,000  
 \$5,000,000 - \$10,000,000  over 多於 \$10,000,000

Approximate net value of my assets (in HK\$) (not including place of residence, motor vehicles, furniture, personal belongings and any life insurance policies)

淨資產 (以港幣計) (不包括居住地方、汽車、傢俬、個人物品及人壽保險) :

- less than 少於 \$200,000  \$200,000 - \$500,000  \$500,000 - \$1,000,000  \$1,000,000 - \$5,000,000  
 \$5,000,000 - \$10,000,000  over 多於 \$10,000,000  Negative 負資產

## Credit Reference 信貸參考

Bank References (including address, type of account and account number) 銀行提述 (包括地址、帳戶類別及號碼) :

Name of Bank 銀行名稱	Address 地址	Type of Account 帳戶類別	Account Number 帳戶號碼

Other Brokerage or Dealer References (including address, type of account (e.g. cash or margin and nature of securities) and account number)

其他經紀或交易商提述 (包括地址、帳戶類別 (現金或保證金及證券性質) 及帳戶號碼) :

Name of Broker 經紀名稱	Address 地址	Type of Account 帳戶類別	Account Number 帳戶號碼

## Investment Objectives and Experience 投資目的及經驗

Investment Objectives 投資目的

- Capital Investment and Income 資本投資及收入  Hedging 對沖  Speculation 投機  
 Others (please specify) 其他 (請註明) : \_\_\_\_\_

Investment Experience 投資經驗

	Years 年	Average Portfolio Value (HK\$) 平均價值 (以港幣計)	No. of Transactions within Latest 3 Years 最近三年內的交易次數
<input type="checkbox"/> Debentures or Other Securities 股票、債券及其他證券			
<input type="checkbox"/> Leveraged Foreign Exchange 槓桿外匯			
<input type="checkbox"/> Precious Metals 貴重金屬			
<input type="checkbox"/> Futures / Options 期貨/期權			
<input type="checkbox"/> Derivatives Products 衍生產品			
<input type="checkbox"/> Others (please specify) 其他 (請註明)			
Other Relevant Investment Experience 其他相關投資經驗			

## Other Accounts 其他帳戶

Particulars of any and all other accounts (whether individual, joint, corporate, trustee) beneficially held, owned or operated by me 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 LT Securities Limited or any of its subsidiaries or associated companies 其他帳戶詳情 (無論個人、聯名、公司、託管), 本人或本人代表他人、公司、有直接或間接利益在利通證券有限公司及其附屬或聯營公司由本人實益持有、擁有或運作

Account Name 帳戶名稱 \_\_\_\_\_ Account Number 帳戶號碼 \_\_\_\_\_

Client's Signature 客戶簽署

## Joint Account 聯名帳戶

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.

若帳戶持有人多於一位, 各帳戶持有人現特此聲明此帳戶乃聯名帳戶, 享有尚存者的權利。

Primary Applicant 第一申請人

Secondary Applicant 第二申請人

## Trading Authorization 交易授權

Will the account be traded by other person(s) on my behalf?  Yes 是  No 否  Any one of us 吾等任何一人  
帳戶會否授權第三者交易? (For Joint Account Only 只適用於聯名帳戶)

If yes, please furnish signed Trading Authorization 若會, 請提交交易授權書

Client's relationship to authorized representative 客戶與授權人關係: \_\_\_\_\_

## Declaration 聲明書

I hereby declare that I am the ultimate beneficial owner(s) of the account. 本人現宣布本人是本帳戶最終實際受益擁有人。

If not, please state the full name of the actual beneficiary(ies) 若否, 請列明實際受益人: \_\_\_\_\_

I confirm that I have received a booklet of LT Securities Trading Agreement. 本人確認本人已收取一份利通證券交易協議書。

I confirm that I am not related to any of your directors, officers or employees. 本人確認與貴公司任何董事、主任或職員無任何關連。

If related, please state 若有關連, 請列明:

Name 姓名	Company 公司	Relationship 關係
Name 姓名	Company 公司	Relationship 關係

I confirm that I am not an employee or consultant of a member of Hong Kong exchange / Licensed Dealer or Trader\*.

本人確認本人不是香港交易所會員 / 持牌買賣商的職員或顧問\*。 If yes, please state 若是, 請列明:

Category 類別	Name of Member/Trader 會員/買賣商名稱	Registration No. 註冊編號	Status 身份
Hong Kong Exchange 香港交易所			
Licensed Dealer / Trader 持牌買賣商			

I confirm that I am not a senior officer / director or in control of company listed on any exchange / market\*.

本人確認不是在交易所 / 市場上市的公司的高級職員 / 董事\*。 If yes, please state 若是, 請列明:

Position 職位 \_\_\_\_\_ Company Name 公司名稱 \_\_\_\_\_

## CLIENT'S DECLARATION 客戶聲明書

I represent that the contents and information provided by me in this Client Information Statement are true, complete and correct and that the representations made by me herein are accurate. You may or are entitled to rely entirely upon such contents information and representations for all purposes, unless you receive notice in writing from me of any change thereof. I hereby undertake to notify you in writing forthwith upon any material change(s) in the information provided herein. You are further and hereby authorized at any time to contact any person or persons, including my/our banks, brokers, advisers or any credit agency, for or relating to the purpose of verifying the information provided by me in this Client Information Statement.

本人茲聲明在客戶資料表格內的資料及內容屬真實，完整、正確及附上申述內容準確，除非接到更改有關聲明內容的書面通知，否則閣下有權在任何用途上完全依賴這些資料及聲明，本人承諾以書面通知閣下，若此資料有任何修改。閣下現獲授權在任何時間接觸任何人(等)包括本人往來銀行、經紀、顧問或任何信貸機構，核實本人在客戶資料表格中所提供的有關資料。

Print Full Name of Primary Applicant 第一申請人  Print Full Name of Secondary Applicant 第二申請人   
 Date 日期:  Date 日期:   
 Client's Signature 客戶簽署  Client's Signature 客戶簽署

## TRADING ACCOUNT 交易帳戶

I/We hereby also confirm my/our request for opening the following Account(s) by signing my/our name(s) next to the Account(s) and I/we have been invited to read the LT Securities Trading Agreement and the terms and conditions posted on Itsecurities.com website in a language I/we prefer and I/we fully understand and agree to be bound by them in full. I/We also have been invited to ask question and take independent advice if I/we wish.

本人/吾等確認要求開設下列帳戶及在帳戶旁簽署其姓名，本人/吾等同意並已被邀請按照本人/吾等所選擇的語言閱讀利通證券交易協議書的內容及刊載於利通證券網址內的協議、條款，本人/吾等完全理解並同意履行及遵守該協議書內的條款。本人/吾等已被邀請如本人/吾等有任何意願可提出及徵求獨立意見。

Account 帳戶	Primary Applicant's Signature 第一申請人簽署	Secondary Applicant's Signature 第二申請人簽署
Cash Account 現金帳戶	Date 日期: <input type="text"/>	Date 日期: <input type="text"/>
Margin Account 保證金帳戶	Date 日期: <input type="text"/>	Date 日期: <input type="text"/>
Cash Account (Online Trading Service) 現金帳戶(網上交易服務)	Date 日期: <input type="text"/>	Date 日期: <input type="text"/>
Margin Account (Online Trading Service) 保證金帳戶(網上交易服務)	Date 日期: <input type="text"/>	Date 日期: <input type="text"/>
Securities Options Account 證券期權帳戶	Date 日期: <input type="text"/>	Date 日期: <input type="text"/>
Futures Account 期貨帳戶	Date 日期: <input type="text"/>	Date 日期: <input type="text"/>
Futures Account (Online Trading Service) 期貨帳戶(網上交易服務)	Date 日期: <input type="text"/>	Date 日期: <input type="text"/>

## ACKNOWLEDGEMENT BY CLIENT 客戶確認

The Client confirms that the following relevant risk disclosure statement(s) (as indicated below) was/were provided in a language of the Client's choice; and the Client was invited to read the risk disclosure statement, to ask question and take independent advice if the Client wishes.

客戶證實已獲提供客戶所選擇的語言的下列有關風險披露聲明書；及客戶已被邀請閱讀、提出問題及徵求獨立的意見如客戶有此意願。

Type of Risk Disclosure Statement 風險披露聲明書	Primary Applicant's Signature 第一申請人簽署	Secondary Applicant's Signature 第二申請人簽署
Risk of Securities Trading as set out in clause 15 of the LT Securities Trading Agreement 證券交易的買賣風險在利通證券交易協議15條列明	Date 日期: <input type="text"/>	Date 日期: <input type="text"/>
Risk of Margin Trading as set out in the 2nd Schedule of the LT Securities Trading Agreement 保證金交易的買賣風險在利通證券交易協議附件二列明	Date 日期: <input type="text"/>	Date 日期: <input type="text"/>
Risk of Online Trading as set out in the 3rd Schedule of the LT Securities Trading Agreement 網上交易的買賣風險在利通證券交易協議附件三列明	Date 日期: <input type="text"/>	Date 日期: <input type="text"/>
Risk of Securities Options Trading as set out in the 4th Schedule of the LT Securities Trading Agreement 證券期權交易的買賣風險在利通證券交易協議附件四列明	Date 日期: <input type="text"/>	Date 日期: <input type="text"/>
Risk of Futures Trading as set out in the 5th Schedule of the LT Securities Trading Agreement 期貨交易的買賣風險在利通證券交易協議書附件五列明	Date 日期: <input type="text"/>	Date 日期: <input type="text"/>

Witness Name 見證人姓名  Occupation 職業   
 Address 地址   
 If signed outside of Hong Kong, signing of this Agreement should be witnessed by a duly appointed Notary Public, solicitor or other competent person.  
 如於香港以外地方簽署，須由正式任命的公證人、律師或其他相關能力人士見證簽署。  
 Witness Signature 見證人簽署   
 Date 日期:

Declaration by Registered Person 註冊人士聲明書  
 I,  have invited the applicant(s) to read the contents of the LT Securities Trading Agreement in a language which he/they understand(s) and prefer(s). I have also invited the applicant(s) to ask questions and take independent advice if he/they wish(es).  
 Date  CE No.   
 Registered Person's Signature

### For Internal Use Only

Handled by 經辦人:  Approved and Accepted by 批核及接納:   
 Signature 簽署:  Authorized Signature 授權代表簽署:   
 Date 日期:  Date 日期:

Version 版本