

GT CAPITAL LIMITED 高富金融有限公司

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CE Number: AGF968

A corporation licensed for Type 1 and Type 4 regulated activities under the Securities and Futures Ordinance and an exchange participant of the Stock Exchange of Hong Kong Limited (the "Exchange")
根據《證券及期貨條例》就第 1 類及第 4 類受規管活動獲發牌法團及香港聯合交易所有限公司(「聯交所」)交易所參與者

CLIENT INFORMATION STATEMENT

客戶資料聲明

Account No.

賬戶編號 _____

To: GT Capital Limited 高富金融有限公司

Upon my/our request, please open and maintain

有關本人/吾等之要求，請開立及維持

a CASH securities trading account in accordance with the terms and conditions of this Statement and the Cash Client Agreement
現金證券買賣賬戶並根據此聲明及現金客戶合約所設立之條款

a MARGIN securities trading account in accordance with the terms and conditions of this Statement and the Margin Client Agreement together with the supplement clauses for margin account
保證金證券買賣賬戶並根據此聲明及保證金客戶合約所設立之條款及保證金戶口附加條款

I/We understand that it is necessary for me/us to provide the personal data requested on this Client Information Statement to open the securities trading account with your company.

本人/吾等明白在貴公司開立及維持有關證券買賣賬戶資料聲明提供有關個人資料。

1. General Information 一般資料

	(1)	(2)
a. Client Name 客戶名稱:		
English 英文 (Mr./Mrs./Miss/N/A)*	<input type="text"/>	<input type="text"/>
Chinese 中文 (先生/女士/小姐/不適用)*	<input type="text"/>	<input type="text"/>
b. Residential Address/ Correspondence Address * 住址/通訊地址: *	<input type="text"/>	<input type="text"/>
	<input type="text"/>	<input type="text"/>
	<input type="text"/>	<input type="text"/>
c. Nationality 國籍:	<input type="text"/>	<input type="text"/>
d. HKID/Passport * 身份證/護照: *	<input type="text"/>	<input type="text"/>
e. Residential/Office Tel No.* 住址/辦公室電話號碼: *	<input type="text"/>	<input type="text"/>
f. Mobile Phone No. 手提電話:	<input type="text"/>	<input type="text"/>
g. E-mail Address/Fax No.* 電子郵件/傳真號碼: *	<input type="text"/>	<input type="text"/>
h. Name of Bank 銀行名稱:	<input type="text"/>	<input type="text"/>
i. Bank Account No. 銀行賬號:	<input type="text"/>	<input type="text"/>
j. Estimated Net Worth 淨資產值:	<input type="text"/>	<input type="text"/>

- k. Annual Income (HK\$) 年薪(HK\$):
- | | |
|--|--|
| <input type="checkbox"/> < HK\$100,000 | <input type="checkbox"/> < HK\$100,000 |
| <input type="checkbox"/> HK\$100,000 – HK\$200,000 | <input type="checkbox"/> HK\$100,000 – HK\$200,000 |
| <input type="checkbox"/> HK\$200,001 – HK\$500,000 | <input type="checkbox"/> HK\$200,001 – HK\$500,000 |
| <input type="checkbox"/> HK\$500,001 – HK\$1,000,000 | <input type="checkbox"/> HK\$500,001 – HK\$1,000,000 |
| <input type="checkbox"/> > HK\$1,000,000 | <input type="checkbox"/> > HK\$1,000,000 |

2. For Individual Account 個人客戶/聯名賬戶

	(1)	(2)
Name of Employer 僱主名稱 :		
Position Held 職位 :		

If you are an employee of another licensed corporation, please provide a consent letter from your current employer regarding the opening of this account with our company.

若閣下是證券及期貨事務監察委員會之註冊公司的僱員，請提供僱主所發出有關在本公司開戶之同意書。

3. Investment Objective and Experience 投資目標/投資經驗

Investment Objective 投資目標	<input type="checkbox"/> Hedging 風險控制	<input type="checkbox"/> Investment 投資	<input type="checkbox"/> Speculation 投機
Attitude of risk taking	<input type="checkbox"/> Low 低	<input type="checkbox"/> Medium 中	<input type="checkbox"/> High 高
Investment Experience	<input type="checkbox"/> Less than 1 year 少於一年	<input type="checkbox"/> 1-5 year 一至五年	<input type="checkbox"/> Over 5 year 五年以上

If your attitude towards risk taking is very low, it may not be appropriate for you to trade in warrants, options, futures, GEM stocks or other OTC financial products of a high risk nature. However, if you have placed orders through our company to deal in these products, you will be deemed to have adopted a higher risk taking attitude and prepared to bear all losses arising from dealing in high risk products.

倘閣下接受風險程度乃非常低，閣下並不適宜買賣認股權證、期權、期貨、創業板股份、或其他高風險之場外金融產品。倘閣下給予指示買賣前產品，則閣下將被視為接受高風險的投資及其所引致之損失。

4. Signing and Verbal Instruction 簽名指示及口頭買賣指示

For Individual/Joint Account * 個人客戶/聯名賬戶 *

	(1)	(2)
Name 姓名		
Specimen Signature 簽名式樣		

If Joint Account 如聯名賬戶

Signing instruction : any _____ of the above persons signing singly/jointly *

Verbal Instruction : Given by any one of the above person.

簽名指示：任何以上_____位人士 * 單獨/聯合簽署*

口頭買賣指示：由任何以上一位人士發出

5. Declaration by Customer 客戶聲明

- 1 Are you the ultimate beneficiary of this account? Yes NO
閣下是否此戶口之最終受益人? 是 否

If no, please provide the following information about the ultimate beneficiary of this account.

如否，請提供此戶口之最終受益人的以下資料。

Name 名稱 : _____ HKID/Passport No. # 身份證/護照號碼 :# _____

Address 地址 : _____

Please provide a copy of HKID/Passport of the ultimate beneficiary
請提供有關最終受益人之身份證或護照影印本

- 2 Are you an employee or agent of: (i) an exchange participant or an intermediary (licensed corporation) licensed for Type 1 Regulated Activity (dealing in securities); or (ii) an intermediary (registered institution) registered for Type 1 Regulated Activity and directly involved in the Regulated Activity? (If yes, please provide your employer consent letter)
 你是否：(i)交易所參與者或就第1類受規管活動(證券買賣)獲發牌的中介人(持牌法團)的僱員或代理人；或(ii)就第1類受規管活動獲註冊的中介人(註冊機構)的僱員或代理人，並直接參與該受規管活動？(如是，請提供你僱主的書面同意)
- Yes, the name of the related exchange participant or intermediary is:
 是，有關的交易所參與者或中介人的名稱是：_____
- No. 否。
- 3 Are you a relative of an employee/agent of GT Capital Limited?
 你是否與高富金融有限公司的職員／代理人有親戚關係？
- Yes, Name of Employee/Agent: _____ Relationship: _____
 是，職員／代理人的名稱：_____ 關係：_____
- No. 否。
- 4 Is your spouse a margin client of GT Capital Limited?
 你的配偶是否高富金融有限公司的孖展客戶？
- Yes. Account Name: _____ Account No.: _____
 是，賬戶名稱：_____ 賬戶編號：_____
- No. 否。
- 5 Are you, either alone or with your spouse, in control of 35% or more of the voting rights of a company which is a margin client of GT Capital Limited?
 你是否個人或與你的配偶共同控制高富金融有限公司的公司孖展客戶35%或以上投票權？
- Yes. Account Name: _____ Account No.: _____
 是，賬戶名稱：_____ 賬戶編號：_____
- No. 否。

6. Customer Acknowledgement and Consent 客戶確認及承諾

Acknowledgement regarding Risk Disclosure Statement

關於風險披露聲明的確認

The Company refers the Customer to the Risk Disclosure Statement on Client Agreement.

- The Customer acknowledges that the Agreement and Schedules attached were provided in a language (English or Chinese) of the Customer's choice.
- The Customer further acknowledge that it was invited to read the Risk Disclosure Statement, ask questions and take independent advice, if the Customer wished.

本公司邀請客戶參閱載於客戶協議的風險披露聲明。

- 客戶確認本公司以客戶選擇的語言(英文或中文)提供了本協議及其附表。
- 客戶進一步確認本公司已經邀請客戶閱讀風險聲明，提出問題及徵求獨立的意見(如客戶有此意見)。

Acknowledgement regarding accuracy of information provided

關於提供準確資料的確認

The information contained in the Customer Information Form is true and accurate. GT Capital Limited is entitled to rely fully on such information for all purpose, unless GT Capital Limited receives notice in writing of any change. GT Capital Limited is authorised at any time to contact anyone, including Customer's banks, brokers or any credit agency, for the purpose of verifying the information Collection Statement as attached in Client Agreement.

I/We have read and understand the provision of the attached Cash/Margin Account Agreement ("Agreement") and accept and agree to be bound by the same.

載於本客戶資料表中的資料是真實和準確的。除非高富金融有限公司收到資料更改的書面通知，高富金融有限公司有權為任何目的信賴這些資料。高富金融有限公司獲授權隨時聯絡任何人士，包括客戶的銀行、經紀或任何信用調查機構，藉以核實本客戶資料表中所提供的資料。高富金融有限公司的個人資料收集聲明列於客戶協議。

我/我們已經閱讀並明白附上之現金/保證金客戶協議(簡稱「協議」)的所有條款並且接受和同意該協議約束。

Authority regarding disposition of securities and collateral under the Securities and Futures (Client Securities) Rules (the "Rules") (or any successive legislative provisions)

依照《證券及期貨(客戶證券)規則》(或任何相承的法律條例)處置證券和抵押的授權

Subject to any provision of the Securities and Futures Ordinance, in the case where the Customer maintains a Margin Account, the Customer hereby authorizes and agrees that in respect of Collateral (as defined in Client Agreement) deposited with the Company by the Customer (or on the Customer's behalf) and for a period of 12 months from the date of execution of this Agreement, the Company shall be entitled to:

除《證券及期貨條例》另有條文規定外，若客戶維持一孖展戶口，該客戶在此授權本公司並同意，客戶(或代客戶)存放於本公司的抵押品(定義見客戶協議)，由本協議簽訂之日期起計為12個月，本公司有權：

- 1 Deposit any of the Collateral with an authorized financial institution (as defined by the Securities and futures Ordinance) as collateral for any financial accommodation provided to the Company: or
 將任何有關證券抵押品存放於認可財務機構(定義見證券及期貨條例)，作為提供予本公司的財務融通抵押品：或
- 2 Apply any of the Collateral pursuant to a securities borrowing and lending agreement: or
 依據證券借貸協議運用任何有關證券抵押品：或
- 3 Deposit the Collateral with (1) a recognised clearing house or (2) another intermediary licensed or registered with the SFC for dealing in securities as Collateral for the discharge and satisfaction of the Company's settlement obligations and liabilities.
 將任何有關證券抵押品存放於(i)認可結算所或(ii)另一獲香港證券及期貨事務監察委員發牌或註冊進行證券交易的中介人，作為解除本公司在交收上的義務和清償本公司在交收上的義務和責任的抵押品。

Such authority may be renewed in writing for one or more further periods not exceeding 12 months at any one time in accordance with the Rules.

根據有關規則，該授權可以書面方式延續一次或多於一次，每次不得超過12個月。

7 Other Services 其他服務

TYPE OF SERVICES 服務種類

(Please indicate the type of trading you want by ticking and signing the appropriate boxes below)
(請在以下適當的方格上選出所需的交易類型並簽署)

On-Line Trading 網上交易

I/We want to use the ET NET-SNAPSHOTS Electronic Services. I/We have read and understand the provisions of the On-Line Trading Agreement as set out in "Online Securities Account Client Agreement Appendix" and accept to be bound by the same.

我/我們欲使用 ET NET-SNAPSHOTS 電子服務。我們已經閱讀並明白“互聯網證券買賣賬戶客戶合約附件”中網上交易協議的條款，並接受這些條款約束。

Individual/Primary Joint
個人/主要帳戶持有人簽署
Account Holder's Signature:

Secondary/Joint Account
聯名帳戶第二持有人簽署
Holder's Signature:

Note 注意:

- 1 Please attach an ID card copy of all account holders with this application.
請隨本申請表格附上全部持有人之身份證副本。
- 2 This form should be completed and signed by the customer in front of GT Capital Limited's employee. Otherwise, please see Note 6 below.
客戶必須在高富金融有限公司的僱員前填妥及簽署本表格；如非親身開戶，請參看下方的註解 6。
- 3 Any deletion or amendment must be initialled by all account holders.
任何刪除或修改必須由客戶簽署作實。
- 4 Customer can choose home address or office address as all the statement will be sent to this address. And other printing matters will be sent to address designated by customer. P.O. Boxes are not accepted. Please enclose the address proof dated within the latest three months.
客戶可選擇以住宅地址或辦公室地址收取帳戶結單，而其他印刷品將寄往客戶所選擇之郵寄地址。郵政信箱恕不接受。請附上在最近三個月內之地址證明文件。
- 5 Third-party cheques cannot be used to settle any trading transaction.
不能以第三者支票交收。
- 6 If this document is not executed by the Customer in front of GT Capital Limited's employee, Customer should comply with either one of the following procedural requirements:
如開戶文件並非在高富金融有限公司的僱員面前簽立，客戶必須遵從以下其中一個程序：
 - (i) Customer should send to GT Capital Limited **a personal 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 on this Form in favour of "GT Capital Limited" for not less than **HK\$10,000** (or such other amount as may be advised by GT Capital Limited). Your new account will not be activated until the cheque is cleared; or
客戶須交給高富金融有限公司由**客戶在香港的持牌銀行開立的帳戶所簽發(該簽名須與此開戶表格上的客戶簽名相符)並載有客戶在身份證明文件上所顯示的姓名的個人支票**，而該支票抬頭人須為“**高富金融有限公司**”及其數額不得少於 **10,000 港元**(或高富金融有限公司通知客戶的其他數額)。客戶的新帳戶必須待支票兌現後才可使用；或
 - (ii) The signing of this form and sighting of related identity documents should be certified by any other licensed or registered person, an affiliate of GT Capital Limited, a JP (Justice of Peace), or a professional person such as branch manager of a bank, certified public accountant, lawyer or notary public.
此開戶表格及有關的身份證明文件的見證，須由其他持牌人或註冊人、高富金融有限公司的聯繫人士、銀行分行經理、執業會計師、律師或公證人加以驗證。

8. Confirmation by Client 客戶確認

I/We represent that the information on this Client Information Statement is true, complete and correct and that the representations in the attached agreement are accurate. GT Capital Limited ("Company") is entitled to rely fully on such information and representations for all purposes, unless it / they receive(s) notice in writing of any change. The Company are authorized at any time to contact anyone, including my/our banks, brokers or any credit agency, for the purpose of verifying the information provided on this Client Information Statement. I/We hereby confirm that I/we have read, understand and agree the clauses, terms and conditions of the Client Agreement and supplement including, but not limited to, the following clauses:

Risk Disclosure Statement. I/We confirm that I/we was/were invited to read the Risk Disclosure Statement carefully, ask questions and take independent advice if I/we wish.

Standing Authority. I/We confirm that I/we have given the standing authority to GT Capital Limited to deal with including transfer, deposit and withdrawal my/our monies and securities on my/our behalf.

Authorized Representative. I/We confirm that the appointment of the authorized representative has been made by me/us in accordance with my/our own free will and judgment. I agree to be fully responsible for all kinds of act done by my/our authorized representative and to keep GT Capital Limited fully and effectually indemnified against all losses arising from the acts of my/our authorized representative.

本人/吾等茲聲明在客戶資料表所提供之資料全部真實、完整及正確，並且所附協議內容皆為準確。除非高富金融有限公司（“公司”）接到更改有關本資料內容的書面通知，否則上述公司有權完全依賴此等資料及聲明作一切用途。上述公司獲授權可隨時就核對本資料事宜，與任何人包括人/吾等之銀行、經紀或任何信用機構進行諮詢。本人/吾等確認本人/吾等已詳閱、明白並同意有關合約及附加合約所有條款，其中包括以下條款：

風險披露聲明。本人/吾等確認已小心詳閱風險披露聲明部份，且如本人/吾等所需發出提問及獲得獨立的意見。

常設授權。本人/吾等確認已授權高富金融有限公司代表本人/吾等轉移、存入及提取本人/吾等之款項及證券。

授權代表。本人/吾等確認授權代表是根據本人/吾等之意願及決策所委任的。本人同意就本人/吾等確認之授權代表行為全面負責且對授權代表之行為失誤向高富金融有限公司作出彌償。

(1)

(2)

Signed by Client
客戶簽名：

Client Name
客戶名稱：

Date 日期：

Signed by Witness
見證人簽名：

Witness Name

見證人名稱：

Passport No. of Witness

見證人護照號碼：

9. Declaration by Licensed Person 持牌代表聲明

I declare that to the best of my knowledge and belief, the information I collect from the Client regarding opening a securities trading account with GT Capital Limited is true, complete and correct. I have provided the Client Agreement to the Client in a language of his/her/their choice and have invited the Client to read the clauses, terms and conditions of the Client Agreement carefully, ask questions and take independent advice if he/she/they wish.

本人謹此聲明本人所知及深信，本人由客戶收取之資料及客戶於本公司開戶事項上所提供之資料全屬真實、完整及正確。本人經已以客戶明白的語言，向他/她/他們全部清楚解釋此客戶合約的內容。同時，懇請客戶小心詳閱此客戶合約之條款且按需要發出提問及獲得獨立的意見。

Signed by Licensed Person
持牌代表簽名：

CE No.
CE 編號：

Name of licensed Person
持牌代表名稱：

Date
日期：