

**Account Opening Information Form**  
**開戶資料表**

<b>(Individual Account)</b> <b>(個人戶口)</b>	<u>For official use only</u> 只供本行使用
<b>Please select the type of account 請選擇戶口類別</b>	
<input type="checkbox"/> Cash Securities Account 現金證券戶口 <input type="checkbox"/> Equity Options Account 股票期權戶口 <input type="checkbox"/> Futures Account 期貨戶口 <input type="checkbox"/> Online Trading Services 網上交易服務	Account No. 戶口號碼：  Date Opened 開戶日期：

**Client Information 客戶個人資料**

Name of client (English 英文) \_\_\_\_\_  Male 男  
 客戶姓名：  
 (Chinese 中文) \_\_\_\_\_  Female 女

I.D. / Passport No. \_\_\_\_\_ Date of Birth \_\_\_\_\_  
 身份證/護照號碼： \_\_\_\_\_ 出生日期： \_\_\_\_\_

Place of Birth \_\_\_\_\_ Nationality \_\_\_\_\_  
 出生地點： \_\_\_\_\_ 國籍： \_\_\_\_\_

Marital Status 婚姻狀況:  Single 未婚     Married 已婚     Others 其他 \_\_\_\_\_  
 Education Level 教育程度:  Primary 小學     Secondary 中學     Post-Secondary 專上     University or above 大學或以上

U.S. Tax Resident 美國納稅居民                      U.S. Green Card Holder 美國綠卡持有人  
 Yes 是                       No 否                       Yes 是                       No 否

Residential Address 住宅地址：  
 \_\_\_\_\_

Tel. No. \_\_\_\_\_ (Residential 住宅)      Email Address \_\_\_\_\_  
 電話號碼： \_\_\_\_\_ (Mobile 手提)      電郵地址： \_\_\_\_\_

Name of Employer 僱主名稱：  
 \_\_\_\_\_

Employer Address 僱主地址：  
 \_\_\_\_\_

Business Tel. No. \_\_\_\_\_ Fax No. \_\_\_\_\_  
 工作電話號碼： \_\_\_\_\_ 傳真號碼： \_\_\_\_\_

Position Held \_\_\_\_\_ Occupation / Nature of Business \_\_\_\_\_  
 職位： \_\_\_\_\_ 職業/業務性質： \_\_\_\_\_

All correspondence of the account including statements, confirmations, notices, contracts etc to be mailed to:  
 請將上述帳戶之信件，包括結算單、確認書、通知書及契約書等發送至：

Residential address 住宅地址  
 Business address 工作地址  
 Email address 電郵地址  
 Other address, please specify (其他地址，請說明)

Nominated Bank Account 指定銀行戶口

Please nominate the bank account you wish to use for fund deposit (the account must be your own name)  
請指示銀行戶口以供入數之用(必須與閣下姓名相同)

Bank Name 銀行名稱: \_\_\_\_\_

Account Number 戶口號碼: \_\_\_\_\_

Client Financial Position 客戶財政狀況

Annual Income 每年收入:

Income Source 收入來源: (Can choose more than one item 可選擇多於一項)

- Salary / Commission 薪金/佣金     Rent 租金     Dividend / Interest 股息/利息     Business Profit 營業利潤  
 Others (please specify) 其他(請列明): \_\_\_\_\_

Estimated Total Amount (in HKD) 估計總金額(港幣計):

- Below 少於\$120,000     \$120,000~\$360,000     \$360,001~\$600,000     \$600,001~\$1,200,000     Above 多於\$1,200,000

Asset Net Worth 資產淨值:

Asset Class 自產類別: (Can choose more than one item 可選擇多於一項)

- Property 房產     Cash / Deposit 現金/存款     Valuable Stock 有價證券  
 Others (please specify) 其他(請列明): \_\_\_\_\_

Approximate Total Net Worth (in HKD) 概算總淨值:

- Below 少於\$200,000     \$200,000~\$500,000     \$500,001~\$1,000,000     \$1,000,001~\$5,000,000     Above 多於\$5,000,000

Investment Experience 投資經驗

- Nil 無     Warrants 認股證 \_\_\_\_\_ year 年  
 HK listed Stock 香港上市證券 \_\_\_\_\_ year 年     Overseas listed stocks 海外上市證券 \_\_\_\_\_ year 年  
 HK futures / options 香港期貨/期權 \_\_\_\_\_ year 年     Overseas futures / options 海外期貨/期權 \_\_\_\_\_ year 年  
 Mutual Funds / Bonds 基金 / 債券 \_\_\_\_\_ year 年     Structured Products 結構性產品 \_\_\_\_\_ year 年

Investment Objectives 投資目標

- Income 收入     Capital gain 資本增值  
 Hedging 對沖     Speculation 投機

Risk Factors 風險因素

- Low 低風險     High 高風險  
 Medium 中風險     Very High 極高風險

Bank References 銀行資料

Main Banker 主要銀行: \_\_\_\_\_

Branch / Address 分行/地址: \_\_\_\_\_

Account Name 戶口名稱: \_\_\_\_\_

Account No 戶口號碼: \_\_\_\_\_

Broker References 經紀資料

Accounts held with other brokerage firms 在其他經紀行設有戶口：

Yes 有       No 沒有

If yes, please specify below: (其他，請說明)

Other Broker(s) 其他經紀行名稱：\_\_\_\_\_

Address(es) 地址：\_\_\_\_\_

Account Type(s) 戶口類別：  
 Cash 現金    Margin 孖展    Stock Options 股票期權    Futures 期指  
 Foreign Exchange 外匯    Commodities 商品    Others 其他 \_\_\_\_\_

Account Name(s) 戶口名稱：\_\_\_\_\_ Account No(s). 戶口號碼：\_\_\_\_\_

Client Declarations 客戶聲明

I / We confirm and declare that 本人/吾等確認及聲明如下：

(a)  I am/We are not a licensed / registered person or an employee of a licensed corporation / registered institution of the SFC.

本人/吾等並非證監會持牌 / 註冊人士，或持牌法團 / 註冊機構之僱員。

I am/We are a licensed / registered person or an employee of a licensed corporation / registered institution of the SFC.

The name of the licensed corporation / registered institution is:

本人/吾等為證監會持牌 / 註冊人士，或持牌法團 / 註冊機構之僱員，該持牌法團 / 註冊機構之名稱為：

\_\_\_\_\_

(b)  I am/We are not related to any employee or director of T G Securities Limited or the group companies.

本人/吾等與滙澤及其集團成員公司之僱員或董事並無直屬關係。

I am/We are related to the employee or director of T G Securities Ltd or the group companies. The name of employee is:

本人/吾等與滙澤及其集團成員公司之僱員或董事有直屬關係，該僱員之名稱為：

\_\_\_\_\_ Relationship 關係：\_\_\_\_\_

(c)  I am/We are not acting as an intermediary for the account. The trading orders placing with T G Securities are not for any of my / our clients or any ultimate beneficiary.

本人/吾等並非以戶口中介人的身份行事。向滙澤作出的買賣指令，均非為本人/吾等的客戶或任何本人/吾等以外的最終受益人作出。

I am/We are acting as an intermediary for the account. Please list below:

本人/吾等是以戶口中介人的身份行事。請詳列如下：

The ultimate principal beneficial owner(s) is / are 最終受益人之名稱為：

\_\_\_\_\_

HKID / Passport No.

香港身份證號碼/護照號碼：\_\_\_\_\_

Contact No.

聯絡電話號碼：\_\_\_\_\_

Residential Address 住宅地址：

\_\_\_\_\_

Employer's Name

僱主名稱：\_\_\_\_\_

Occupation

職業：\_\_\_\_\_

Employer's Address 僱主地址：

\_\_\_\_\_

Person(s) ultimately responsible for giving instructions in relation to transactions to be conducted through the account is / are  
最終負責就該帳戶進行之交易發出指示之人士：

HKID / Passport No.

香港身份證號碼/護照號碼：\_\_\_\_\_

Contact No.

聯絡電話號碼：\_\_\_\_\_

Residential Address 住宅地址：

Employer's Name

僱主名稱：\_\_\_\_\_

Occupation

職業：\_\_\_\_\_

Employer's Address 僱主地址：

The Client represents that the information contained in this Account Opening Information Form is true, complete and correct and that the representations in the attached current version of the Standard Terms and Conditions for Securities Trading / Futures and Options Trading of T G Securities Limited (the "Agreement") are accurate. T G Securities Limited ("T G") is entitled to rely fully on such information and representations for all purposes, unless T G receives notice in writing of any change. T G is authorized at any time to contact anyone, including my / our banks, brokers and credit agency, for the purpose of verifying the information provided on this Account Opening Information Form.

客戶茲聲明在本開戶資料表內的資料均屬真實，完整及正確，而附上滙澤證券有限公司最新版本的證券/期貨及期權交易標準條款（“該協議書”）一切內容準確。除非滙澤證券有限公司（“滙澤證券”）收到有關更改開戶資料表內容的書面通知，滙澤證券有權在任何用途上完全依賴這些資料及聲明。滙澤證券有權隨時聯絡任何人，包括客戶之銀行、經紀或任何信貸機構，以求證實此開戶資料表所載之內容。

I/We, the undersigned Client(s), hereby apply to open Securities / Futures / Options Account(s). I/We have read and understood the provisions of the Agreement of which this document forms a part and agree to be bound by the agreement (receipt of a copy whereof is hereby acknowledged by me/us) as the same may be amended from time to time. I/We acknowledge and confirm that T G has provided the Risk Disclosure Statements and Disclaimers annexed hereto in a language my/our choice (English or Chinese) and I/we have been invited to read the same, to ask questions and take independent advice if I/we wish.

本人/吾等，下述簽署客戶，現申請開立證券/期貨/期權買賣帳戶。本人/吾等已閱讀過及明白附上的該協議書，而本文件乃該協議書的一部份，並同意接受該協議書內不時修訂之條款及細則（謹此聲明本人/吾等已收妥其副本）所約束。本人/吾等確認滙澤證券已按照本人/吾等選擇的語言（中文或英文）獲提供附於本表的風險披露聲明及免責聲明，及已獲邀閱讀該等聲明、提出問題及徵求獨立的意見（如本人/吾等有此意願）。

Client's Signature 客戶簽名

Date 日期

### Staff Declarations 職員聲明

I/We, licensed person(s), hereby declare and confirm that I/we have provided the Risk Disclosure Statement and Disclaimers in a language of the Client's choice (English or Chinese) and invited the Client to read the same, ask questions and take independent advice if the Client/Joint Client so wishes.

本人/吾等，以持牌人身份，謹此聲明及確認本人/吾等已按照上述客戶所選擇的語言（英文或中文）提供附於本表的風險披露聲明及免責聲明及邀請客戶/聯名客戶閱讀該等聲明，提出問題及徵求獨立的意見。

Signed by Licensed Person

持牌人簽署

Name and CE No. of Licensed Person

持牌人姓名及 CE 編號

Date

日期

For Official Use Only 只供本行使用	
Introduced by 介紹人：	How Long Known to Client 與客戶相識年期：
Name of Account Executive 客戶主任姓名：	AE No 客戶主任號碼：
Bank and Credit References Obtained 已獲銀行及信貸參考： Yes 是/No 否	Documents Checked By 文件查核：
Credit Limit Suggested by AE 客戶主任建議之信用額：	Brokerage 經紀佣金：
<p>AML Checking 客戶風險審查:</p> <p><input type="checkbox"/> No, no adverse AML news/on terrorist list 沒有洗錢/恐怖分子資料</p> <p><input type="checkbox"/> Yes, has adverse AML news/on terrorist list 有洗錢/恐怖分子資料:</p> <p>_____</p> <p>_____</p> <p>Signature of Checker 審查員簽署: _____</p> <p>Name 姓名: _____</p>	<p>AML Risk Assessment 客戶風險評估：</p> <p><input type="checkbox"/> High 高 -- Politically exposed persons; from high risk countries; unknown source of income; cash intensive business; complex corporate structures; high risk authorized persons to operate account; involved in financial crimes.</p> <p>政治人物; 來自高風險國家; 不明收入來源; 現金密集型業務; 公司結構複雜; 高風險的第三者授權人; 涉及金融罪行。</p> <p><input type="checkbox"/> Medium 中 -- Short known history to AEs/T G; walk-in customers; non-face-to-face account opening; pending legal litigation; business exposed in high risk countries.</p> <p>與客戶相識年期較短; 步入式客戶; 非面對面開戶; 未決的法律訴訟; 與高風險國家有業務往來。</p> <p><input type="checkbox"/> Low 低 -- Long known to AEs/T G; with employment-based incomes; with legitimate source of income or wealth.</p> <p>與客戶相識年期長, 擁有受僱收入; 具合法收入或財富來源。</p> <p>Assessment RO 評估負責人簽署: _____</p> <p>Name 姓名: _____</p>
Account Executive Signature 客戶主任簽署：	Account Approved By 批准人簽署：
Date 日期: _____	Name 姓名: _____
	Date 日期: _____



滙澤證券有限公司  
T G SECURITIES LIMITED

**Specimen Signature Card 簽署式樣卡**

Date 日期: \_\_\_\_\_

Account Name 客戶姓名: \_\_\_\_\_

Account No. 客戶號碼: \_\_\_\_\_

Name 姓名	ID Card / Passport No. 身份證/護照號碼	Specimen Signature(s) 簽署式樣
1.		
2.		
3.		
4.		
5.		

Company Chop 公司印章 <i>(for Corporate Account 公司戶口)</i>	No. of signature(s) required 有效簽署數目 <i>(for joint or corporate account 聯名或公司戶口)</i>
	Contact Person 聯絡人 <i>(for joint or corporate account 聯名或公司戶口)</i>
	Phone No. 電話號碼

Nominated Bank Name 指定銀行: \_\_\_\_\_

Account Number 指定銀行戶口: \_\_\_\_\_