FIRST SECURITIES (HK) LIMITED
第一證券(香港)有限公司

Account No. **賬戶號碼：**

SUPPLEMENTAL ACCOUNT OPENING FORM (FOR JOINT CLIENT)
補充開戶表格 (聯名客戶適用)

Part A 甲部：APPLICATION FOR ACCOUNT 賬戶申請

I/We hereby request First Securities (HK) Limited to open for me/us and ______________________________ *(Name of Principal Client)*：

本人／吾等謹此要求第一證券(香港)有限公司為本人／吾等及______________________________ *(主要客戶姓名)* 開立:

☐ Cash Account 現金賬戶
☐ Electronic Service 電子服務
☐ Margin Account 保證金賬戶
☐ ______________________________

Part B 乙部： JOINT CLIENT'S INFORMATION 聯名客戶資料

Name of Client (English / Chinese) 客戶姓名 (英文 / 中文)		
ID/Passport No 身分證 / 護照號碼		Place of Issue 簽發地
Nationality / Citizenship 國籍 / 公民		Date of Birth 出生日期
Residential Address 住宅地址		
Correspondence Address (if not the same as above) 通訊地址 (如與上述地址不同)		
Residential Phone No. 住宅電話		Fax No. 傳真號碼
Mobile Phone No. 流動電話號碼		E-Mail Address 電郵地址
Name of Employer 僱主名稱	Years of Service 服務年資	Position 職位
Office Address 辦公地址		
Office Phone No. 辦公電話	Nature of Business of Employer 僱主業務性質	Fax No. 傳真號碼

Part C 丙部： FINANCIAL PROFILE 財務概況

- Annual Income *(Please tick one box)* 每年總收入 *(請勾選一項)*
  - ☐ Under 少於 US $20,000
  - ☐ US $20,000 ~ US $49,999
  - ☐ US $50,000 ~ US $99,999
  - ☐ US $100,000 or above 或以上

- Residence *(Please tick one box)* 住屋 *(請勾選一項)*
  - ☐ Self-owned (subject to mortgage) 自置物業（有按揭）
  - ☐ Self-owned (no mortgage) 自置物業（無按揭）
  - ☐ Rent 租用物業

- Source of income (choose one or more) 收入來源(可勾選多項)
  - ☐ Salary / Commission 薪金 / 佣金
  - ☐ Savings 儲蓄
  - ☐ Dividend / Interest 股息/利息
  - ☐ Business Profit 業務溢利
  - ☐ Investment Return 投資獲利
  - ☐ Rent 租金

- Origins of Fund *(Please tick at least one box)*資金來源地*(請至少勾選一項)*
  - ☐ Hong Kong 香港
  - ☐ Taiwan 台灣
  - ☐ China 中國
  - ☐ Singapore 新加坡
  - ☐ USA 美國
  - ☐ Others 其他: ____________________

- Liquid Assets *(Please tick one box)* 流動資產 (US$) *(請勾選一項)*
  - ☐ <10,000
  - ☐ 10,001 – 100,000
  - ☐ 100,001 – 500,000
  - ☐ 500,001 – 1,000,000
  - ☐ >1,000,001

- Total net worth 資產淨值：US $ ______________________________

Part D 丁部：INVESTMENT EXPERIENCE AND RISK TOLERANCE 投資經驗及風險承受程度

Name of Joint Client 聯名客戶姓名 ____________________

Investment Experience 投資經驗 *(Please choose the years of investment experience of each product 請勾選各類產品的相關投資經驗)*

Type of Product 投資產品類型*	Nil 無	Less than 3 years 三年以下	3 to 5 years 三至五年	5 to 10 years 五至十年	More than 10 years 十年以上
	Years of Investment Experience 投資年期				
Equities 證券	☐	☐	☐	☐	☐
Warrants 窩輪 / Stock Options 股票期權	☐	☐	☐	☐	☐
Futures & Options 期貨及期權	☐	☐	☐	☐	☐
Exchanged Traded Fund (ETF) 交易所買賣基金	☐	☐	☐	☐	☐
Hedge Funds 對沖基金	☐	☐	☐	☐	☐
Structured Products 結構性產品	☐	☐	☐	☐	☐
Fixed Income Products (e.g. bonds, etc.) 固定收益產品 (如：債券等)	☐	☐	☐	☐	☐
Others 其他：____________________	☐	☐	☐	☐	☐

- Investment Objectives 投資目標： ☐ Income 收入 ☐ Hedging 對沖 ☐ Capital Gain 資本增值 ☐ Speculation 投機
- Risk Tolerance 承受風險： ☐ Aggressive 高 ☐ Moderate 中 ☐ Conservative 低
- Investment Horizon 投資期： ☐ Short Term 短線 ☐ Medium Term 中線 ☐ Long Term 長線

*The above type of product belongs to Medium and/or High categories. 上述投資產品屬於 " 中等風險 " 及 / 或 " 高風險 " 類別 。

Part E 戊部： ASSESSMENT OF CLIENT'S KNOWLEDGE OF DERIVATIVE PRODUCTS* 客戶對衍生性產品*的認識之評估

The following questionnaire is designed to ensure the provision of our services to you in respect of derivative products are in compliance with our obligations under section 5.1A of Code of Conduct. 以下問卷為確保本公司向你提供有關衍生性產品之服務已遵照《操守準則》第 5.1A 項的責任。

1. Have you undergone any training or attended courses (whether online or classroom courses) on derivative products offered by any academic institution or financial institution? 請問你是否曾接受由任何學術或金融機構舉辦有關衍生性產品的任何培訓或修讀相關課程(不論是網上或教室課程)?

   ☐ No 否 ☐ Yes 是 (please insert details below 請提供下列資料)

   Name of the academic institution or financial institution: 學術或金融機構的名稱: ____________________

   Name of the course: 課程的名稱: ____________________

2. Do you have any current/pervious working experiences related to derivative products 請問你現在/過去的工作經驗是否與衍生性產品有關?

   ☐ No 否 ☐ Yes 是 (please insert details below 請提供下列資料)

   Name of employer 僱主名稱: ____________________ Position 職稱: ____________________

   Please briefly state how your current/previous working experiences related to derivative products: 請簡述你現在/過去的工作經驗如何與衍生性產品有關: ____________________

   Year(s) of working experiences which relate(s) to derivative products 就衍生性產品有關工作經驗之年期: _______ year(s)年

Investor Characterization 投資者分類

Characterization 投資者分類	Investor Characterization Result 分類結果
☐	You are being characterized as a client **without** knowledge of derivatives. 你被評估為對衍生性產品**沒有**認識。
☐	You are being characterized as a client **with** knowledge of derivatives. 你被評估為對衍生性產品**有**認識。

Note 注意事項

* Exchange Traded Derivatives (e.g. ETF, Warrants, Stock Options, Futures & Options, Callable Bull/Bear Contracts). Non-Exchange Traded Derivatives (e.g. Hedge Funds, Structured Products). 交易所買賣衍生工具 (例如：交易所買賣基金、窩輪、股票期權、期貨及期權，牛熊證)。非交易所買賣衍生工具 (例如：對沖基金，結構性產品)。

Part F 己部：THE CLIENT'S ACKNOWLEDGEMENT AND DECLARATIONS 客戶確認及聲明

1. I/We, the undersigned, hereby confirm that the information above given is true, correct and complete and authorize you to verify the same from any source it may consider fit. I/We also undertake to notify you immediately of any changes to the above information.
   本人/吾等，下列簽署人，確認上述資料乃屬真實、正確及完整，並授權貴公司可向任何方面證實。本人/吾等亦承諾如上述資料有任何改變，會立即通知貴公司。
2. I/We further confirm and acknowledge that I/we have been advised by you in respect of the risks associated with the listed derivative/structured products and over the counter derivative/ structured products and fully understand the nature and the risks thereof. I/We determine to make investment in the listed derivative/ structured products or over the counter derivative/ structured products and shall be personally liable to all loss and damages arising out of the investment in the same. I/We understand you accept no liability for any loss and damages suffered or sustained by me/us in relation to the investment in the relevant products.
   本人/吾等進一步確認及承認， 貴公司已向本人/吾等解釋涉及交易所買賣的衍生/結構性產品及非交易所買賣的衍生/結構性產品的風險。本人/吾等完全明白其性質及風險。本人/吾等決定投資於交易所買賣的衍生/結構性產品或非交易所買賣的衍生/結構性產品，並自行承擔所有投資於上述產品的損失及損害。本人/吾等明白， 貴公司對本人/吾等投資有關產品而蒙受的任何損失及損害毋須承擔任何責任。
3. I/We hereby further confirm that this Supplemental Account Opening Form shall form and constitute an integral part of the Account Opening Form duly signed by me/us and other joint account holder(s).
   本人/吾等謹此進一步確認，本補充開戶表格構成由本人/吾等及其他聯名帳戶持有人妥為簽署的開戶表格的組成部份。

Joint Client's Signature 聯名客戶簽署

Date 日期：____________________ (DD/MM/YY) (日/月/年)

Please attach this Supplemental Account Opening Form with your Account Opening Form (Individual / Joint Account) (if applicable)
此補充開戶表格須連同開戶表格(個人/聯名賬戶)一併遞交 (如適用者)