

Account No. 帳戶號碼 :

Customer Information Form (Corporate Account)
客戶資料表(公司戶口)

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|--|---------------------------------|--|--------------------------------|--------------|
| 1 | Account Selection 選擇戶口 | | | |
| Select Account Type : 選擇戶口種類: <input type="checkbox"/> Securities 証券 <input type="checkbox"/> Futures/Options 期指/期權 <input type="checkbox"/> Margins 保證金 | | | | |
| 2 | Account Information 帳戶資料 | | | |
| Name of Customer 客戶名稱 : English (英文): _____ Chinese (中文): _____ | | | | |
| Business nature 業務性質 : | | Entity nature 公司性質 : | | |
| | | <input type="checkbox"/> Private Limited Company 非上市公司 <input type="checkbox"/> Public Limited Company 上市公司 <input type="checkbox"/> Others 其他 (Pls. specify 請註明): _____ | | |
| Country of Incorporation 註冊地點 : | | Date of Incorporation 註冊日期 : (DD/MM/YY) | | |
| Certificate of Incorporation No. 註冊證書編號 : | | Business Registration No. 商業登記證編號 : | | |
| Authorised Share Capital 法定股本 : | | Issued Share Capital 已發行股本 : | | |
| Registered Address 註冊地址 : | | | | |
| Business Address 營業地址 : (If different 如與上述不同) | | | | |
| Telephone No. (1) 電話號碼 (1) : | Telephone No. (2) 電話號碼 (2) : | Telephone No. (3) 電話號碼 (3) : | Fax No. 傳真號碼 : | |
| E-mail Address 電郵地址 : | | | | |
| Correspondence Address 通訊地址 : <input type="checkbox"/> Registered Address 註冊地址 <input type="checkbox"/> Business Address 營業地址 <input type="checkbox"/> Other 其他 _____ | | | | |
| Statements In 結單語言: <input type="checkbox"/> English 英文 <input type="checkbox"/> Chinese 中文 | | <input type="checkbox"/> Trading Confirmation & Statement to be sent by mail to your Correspondence Address 交易確認文件及結單將以郵遞方式寄發予閣下通訊地址 (Note 注意: If you do not tick the box, trading confirmation & statement to be sent to your company's designated E-mail address above. 如不作剔選, 閣下之交易確認文件及結單將發送至貴公司上列的指定電子郵箱地址) | | |
| All Directors/Major Shareholders (Shareholding of 10% or more) 所有董事/主要股東(持有百分之十或以上股權) | | | | |
| Name 姓名 : | Residential Address 住宅地址 : | ID/Passport No. & Country of Issue 身分證/護照號碼及簽發國家 : | Director 董事/ Shareholder 股東 | % owned 持有 % |
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3

Bank Reference 銀行參考

Bank Account Record (For fund deposit only) 銀行帳戶紀錄(只作存款用途)

Bank Name 銀行名稱: _____ Account Name 帳戶名稱: _____

Account No. 帳戶號碼: _____ A/C Type 帳戶類別: Saving A/C 儲蓄 Current A/C 支票 Others 其他 _____

4

Financial Situation 財政狀況

Liquid Assets 流動資產:

 less than 少於\$200,000 \$200,000-\$499,999 \$500,000-\$999,999 \$1,000,000-\$5,000,000 Over 多於\$5,000,000

Net Assets 資產淨值:

 less than 少於\$200,000 \$200,000-\$499,999 \$500,000-\$999,999 \$1,000,000-\$5,000,000 Over 多於\$5,000,000

Net Profit/Loss* Before Tax of the latest financial Year 最近財政年度稅前盈利/虧損*:

 less than 少於\$200,000 \$200,000-\$499,999 \$500,000-\$999,999 \$1,000,000-\$5,000,000 Over 多於\$5,000,000

5

Investment Objectives and Experience

投資目的及經驗

Investment Objectives 投資目的:

 Capital Appreciation 資本增值 Hedging 對沖 Speculation 投機 Other (Pls. specify) 其他 (請註明) _____

Investment Experience 投資經驗:

(A) Shares/Debentures 股票/債券 Nil 沒有 1-3 years(年) 3-5 Years(年) 5-10 Years(年) Over 10 Years(超過十年)(B) Equity Options 股票期權 Nil 沒有 1-3 years(年) 3-5 Years(年) 5-10 Years(年) Over 10 Years(超過十年)(C) Warrants 認股權證 Nil 沒有 1-3 years(年) 3-5 Years(年) 5-10 Years(年) Over 10 Years(超過十年)(D) Mutual Fund/Unit Trust 互惠基金/單位信託基金 Nil 沒有 1-3 years(年) 3-5 Years(年) 5-10 Years(年) Over 10 Years(超過十年)(E) Others (Pls. specify) 其他 (請註明) _____ Nil 沒有 1-3 years(年) 3-5 Years(年) 5-10 Years(年) Over 10 Years(超過十年)

The following person(s) is/are as an Authorised Person(s) to operate the Account on the Customer's behalf, pursuant to the signing arrangement. 根據簽署安排, 下列獲授權簽署人士可代客戶運作該帳戶:

Signing arrangement: Any _____ signature(s) of the Authorised Person(s) will be effective.

簽署安排: 下列 _____ 式簽署中, 任何 _____ 式簽署有效。

| Name in English 英文姓名 | Name in Chinese 中文姓名 | ID/Passport No. & Country of Issue 身份證/護照號碼及簽發國家 | Position 職位 | Specimen Signature 簽署式樣 |
|-------------------------|-------------------------|---|----------------|----------------------------|
| (A) | | | | |
| (B) | | | | |
| (C) | | | | |
| (D) | | | | |
| (E) | | | | |
| (F) | | | | |
| (G) | | | | |

(A) Is the company the ultimate beneficial owner(s) in relation to the Account? (i.e. Is the company acting for its own and not for a third party?)

貴公司是否此戶口之最終權益擁有人？（即貴公司是否為本身而非第三者運作此帳戶？）

Yes. 是。

No, detail s of the ultimate beneficial owner(s) is/are 不是，帳戶之最終權益擁有人是：

Name 姓名：_____ ID/Passport No. 身分證/護照號碼：_____

Country of Issue 簽發國家：_____ Address 地址：_____

(B) Is any of the company's director and shareholder an employee or director of a Licensed Corporation or Registered Institution registered with the Securities and Futures Commission? 貴公司任何董事及股東是否證監會註冊持牌法團或註冊機構之僱員或董事？

No. 不是。

Yes. Please provide the name of the Licensed Corporation or Registered Institution. 是。請提供有關持牌法團或註冊機構名稱：

(C) Is any of the company's director and shareholder an employee or the relative of an employee of Convoy Investment Services Limited?

貴公司任何董事及股東是否康宏証券投資服務有限公司之僱員或是其僱員之親屬？

No. 不是。 Yes. 是。 Name of employee 僱員姓名：_____ Relationship 關係：_____

(D) Is any of the company's director and shareholder the holder of senior public position of any countries e.g. senior government official, political party leaders, etc. or their family members?

貴公司任何董事及股東是否任何國家/地區之政界人士，例如：政府高官、政黨領袖等或其家人？

No. 不是。 Yes. 是。(Pls. Specify 請註明)：_____

(A) For Securities Trading Account 開設證券買賣戶口

You confirm that (i) you have received, read and understood the provisions of the Cash Account Agreement; (ii) agree to be bound by the Cash Account Agreement; and (iii) agree that words and expressions which are defined in the Cash Account Agreement shall have the same meanings when used in this Customer Information Form unless otherwise stated or the context otherwise requires and that in the event of any inconsistency, the provisions of the Cash Account Agreement shall override this Customer Information Form.

你確認(i)已收到、閱讀及明白本公司附上之現金帳戶協議；(ii) 同意接受該現金帳戶協議所約束；及(iii)同意如「客戶資料表」內之詞彙表達與該現金帳戶協議有任何抵觸，該現金帳戶協議將凌駕於「客戶資料表」。

 For Futures/ Options Contract Trading Account 開設期指/期權買賣戶口

You confirm that (i) you have received, read and understood the provisions of the Customer Trading Agreement for Internet Futures Contract and/or Options Contract Trading; (ii) agree to be bound by the Customer Trading Agreement for Internet Futures Contract and/or Options Contract Trading; and (iii) agree that words and expressions which are defined in the Customer Trading Agreement for Internet Futures Contract and/or Options Contract Trading shall have the same meanings when used in this Customer Information Form unless otherwise stated or the context otherwise requires and that in the event of any inconsistency, the provisions of the Customer Trading Agreement for Internet Futures Contract and/or Options Contract Trading shall override this Customer Information Form.

你確認(i)已收到、閱讀及明白本公司附上之期貨合約及期權交易合約協議；(ii) 同意接受該期貨合約及期權交易合約協議所約束；及(iii)同意如「客戶資料表」內之詞彙表達與該期貨合約及期權交易合約協議有任何抵觸，該期貨合約及期權交易合約協議將凌駕於「客戶資料表」。

 For Margin Client Trading Account 開設保證金買賣戶口

You confirm that (i) you have received, read and understood the provisions of the Margin Client Agreement and Standing Authority Letter; (ii) agree to be bound by the Margin Client Agreement and (iii) agree that words and expressions which are defined in the Margin Client Agreement shall have the same meanings when used in this Customer Information Form unless otherwise stated or the context otherwise requires and that in the event of any inconsistency, the provisions of the Margin Client Agreement shall override this Customer Information Form.

你確認(i)已收到、閱讀及明白本公司附上之保證金客戶協議書及常設授權書；(ii) 同意接受該保證金客戶協議書所約束；及(iii)同意如「客戶資料表」內之詞彙表達與該保證金客戶協議書有任何抵觸，該保證金客戶協議書將凌駕於「客戶資料表」。

(B) You represent that the information on the Customer Information Form is true, complete and correct and that the representation in the attached agreement are accurate. Convoy Investment Services Limited is entitled to rely fully on such information and representations for all purposes, unless Convoy Investment Services Limited receives notice in writing of any change. Convoy Investment Services Limited is authorised at any time to contact anyone, including your banks, brokers or any credit agency for purposes of verifying the information provided on this Customer Information Form. Please refer to our Personal Information Collection Statement which is attached as schedule I of the Cash Account Agreement for further information.

你聲明在客戶資料表格內的資料屬真實、完整及正確，而附上的協議一切內容準確。除非康宏証券投資服務有限公司接到更改有關聲明內容的書面通知，康宏証券投資服務有限公司有權在任何用途上完全依賴這些資料及聲明。康宏証券投資服務有限公司有權隨時聯絡任何人，包括吾等之銀行、經紀或任何信貸調查機構，以查證此客戶資料表格內所載之內容。詳情請參閱現金帳戶協議附表 I 的個人資料收集聲明。

(C) You declare and acknowledge that the Risk Disclosure Statements are provided in a language chosen by you (English or Chinese) and you have invited to read the Risk Disclosure Statements, to ask questions and advice to take independent advice if you wish.

你謹此聲明及確認，已獲提供所選擇的語言(英文或中文)的風險披露聲明。並已獲邀請閱讀該風險披露聲明，提出問題及徵求獨立意見(如有此意願)。

(D) You confirm that you have received our Company's Securities Fee Schedule.

你確認收妥本公司之股票服務收費表。

(E) You aware that you shall not settle any trading transaction with third-party's cheques.

你明白不能以第三者支票作交收。

Authorized Signature(s) (with Business Chop)

授權人簽署(加蓋公司業務印章)

Date 日期

(F) Witness 見證

Name of Witness 見證人姓名: _____

CE Number 中央編號: _____

Signature of Witness 見證人簽署: _____

Date Signed 簽署日期: _____

The customer submits this form Without a personal cheque 客戶並無連同個人支票與此表格一併遞交

The customer submits this form With a personal cheque, cheque number: _____
客戶連同個人支票與此表格一併遞交， 支票號碼： _____

I confirm that I have provided the Risk Disclosure Statements in the language of the Customer's choice (English or Chinese) and that I have invited the Customer to read the Risk Disclosure Statements, to ask questions and advice to take independent advice if the customer wishes.

本人確認已按照客戶所選擇的語言(英文或中文)向客戶提供風險披露聲明，及已邀請客戶閱讀該風險披露聲明，提出問題及徵求獨立意見(如客戶有此意願)。

Licensed Staff Name 持牌職員姓名：_____ CE No. 中央編號：_____
(In block letter 以英文大階或中文正階填寫)

Signature of Licensed Staff 持牌職員簽署：_____ Date 日期：_____

Note 注意事項：

1. Please provide the following documents with this Customer Information Form 請隨本客戶資料表附上下列文件：
 - 1.1 A certified copy of ID card/passport of Director(s) and Authorised Person (s). 董事及授權人員之身分證或護照副本。
 - 1.2 A certified copy of Certificate of Incorporation. 公司註冊證書副本。
 - 1.3 A certified copy of Business Registration Certificate. 商業登記證副本。
 - 1.4 A certified copy of Memorandum and Articles of Association. 組織章程大綱及細則副本。
 - 1.5 A certified extracts of Board Resolution. 董事會議決議核證摘要。
 - 1.6 A certified copy of the Register of Directors and Shareholders 董事及股東名冊副本。
 - 1.7 Correspondence proof of the Company (e.g. recent 3 month's Water Bill, Electric Bill). 公司通訊地址證明(如最近三個月之水費、電費單)。
2. P.O. Box is not accepted as a Correspondence Address. 不接受郵政信箱作為通訊地址。
3. Any deletion or amendment must be initialled by Authorised Person (s). 任何刪改必須由帳戶授權人員簽署作實。
4. If this Customer Information Form is not executed in the presence of an employee of Convoy Investment Services Limited, customer shall comply with one of the following requirements:

如客戶資料表並非於康宏証券投資服務有限公司之僱員面前簽立，客戶必須符合以下其中一項要求：

 - 4.1 Customer should provide a cheque in the amount of not less than HK\$10,000 bearing your name as shown in the ID card or passport and drawn on your account with a licensed bank in Hong Kong with the same signature(s) as shown on this Customer Information Form in favour of Convoy Investment Services Limited. Account will not be activated unless the cheque is cleared; or 客戶須提交以其名下於香港註冊銀行開立帳戶所簽發不少於港幣一萬元之支票，支票抬頭為康宏証券投資服務有限公司。該支票上須載有客戶於身分證明文件上所顯示之姓名。而有關支票簽署式樣，必須與客戶資料表上之簽署相符。帳戶必須在支票兌現後才可正式使用。
 - 4.2 The signing of this Customer Information Form and sighting of related identity documents should be certified by any other licensed or registered person, an affiliate of us, a Justice of the Peace, or a profession person such as a branch manager of a bank, a certified public accountant, a lawyer or a notary public.

此客戶資料表及有關身分證明文件的見證，須由其他持牌人或註冊人、本公司之聯繫人士、太平紳士、銀行分行經理、執業會計師、律師或公證人加以核證。

For Official Use Only (只供內部使用)

Referee 介紹人:

No. of year(s) known by A/E 與客戶主任相識年期:

A/E Name 客戶主任姓名:

Commission Rate 佣金 : %

Cash Trading Limit 現金交易限額 :

Single Transaction Limit 單項交易限額 :

Document Checked By 文件檢查人員 :

Date 日期 :

Information Inputted By 資料輸入人員 :

Date 日期 :

Inputted Verified By 輸入資料覆核人員 :

Date 日期 :

Account Approved By 開戶批核人員 :

Date 日期 :

Remark 備註 :