



客戶資料表格 (個人/聯名戶口)
Customer Information Statement
(Individual/Joint Account)

贏證券有限公司 ("贏證券")
Win Securities Limited ("WSL")
證監會註冊編號: AGV 213
SFC CE Number: AGV 213

證券戶口號碼
Securities Account Number: _____
經紀號碼
A.E. Code: _____

1. 戶口種類 Account Type

與贏證券交易戶口 Account(s) for securities trading with WSL

客戶種類	☐ 個人	☐ 聯名	戶口種類	☐ 現金戶口	☐ 保證金戶口
Customer Type:	Individual	Joint Account	Account Type	Cash Account	Margin Account

(註: 聯名戶口每戶口持有人需分別填寫一份客戶資料表格)
(Note: For Joint Account, each account holder should complete a separate Customer Information Statement)

2. 個人資料 Personal Data

客戶名稱: Name of Client:	英文 English		
	中文 Chinese		
香港身份證/護照號碼: HKID/ Passport No.:	性別: Gender:		☐ 男 Male ☐ 女 Female
出生日期: (日/月/年) Date of Birth: (DD/MM/YY)	國籍: Nationality:		
住宅地址: Home Address:			
郵寄地址(若與以上地址不同) Mailing Address (if different from the above address)			
住宅電話: Home Phone No.:	手提電話: Mobile:	傳真號碼: Fax No.:	
此電郵地址將會用作收取電子帳單: This email address will be registered for electronic statement: 電郵地址: (適用於網上交易及/或電子帳單服務): Email Address: (For internet trading and/or electronic statement):			
公司名稱: Company Name:			
公司地址: Company Address:			
公司電話: Office Phone:	行業: Industry:	職位: Position:	

3. 客戶常設交收銀行戶口指示 Bank Account Standing Instruction for Securities

銀行名稱: Bank Name:
帳戶號碼: Account No.:

* 除非客戶於提款指示中指定另外之付款方式, 由客戶證券戶口提取之款項將會存入以上之銀行戶口。
Unless the undersigned specifies other payment method in the funds withdrawal instruction, funds withdrawn from the undersigned's Securities Account(s) shall be paid into the above bank account of the undersigned.

* 請提供存摺副本或銀行結單副本以茲證明。
Please provide copy of the passbook or copy of bank account statement as proof.

4. 財務及投資資料摘要 Financial and Investment Summary

每年總收入: Annual Income:	☐ HK\$0 – HKD\$120,000	☐ HK\$120,001 - HK\$360,000	☐ HK\$360,001 - HK\$600,000
	☐ HK\$600,001 - HK\$1,200,000	☐ >HK\$1,200,000	
估計淨資產值: Estimated Net Worth:	☐ ≤HK\$1,000,000	☐ HK\$1,000,001- HK\$2,000,000	
	☐ HK\$2,000,001- HK\$3,000,000	☐ >HK\$3,000,000	
資金來源: Source of Fund:	☐ 薪金 / 佣金 Salary / Commission	☐ 儲蓄 Savings	☐ 投資獲利 Investment Income
	☐ 售出物業 Sale of real estate	☐ 個人業務 Business Income	☐ 其他 Others: _____
資金來源地: Origin of Fund:			
財產來源: Source of Wealth:	☐ 個人業務收益 Business Income	☐ 薪金 / 退休金 Salary / Pension	☐ 其他 Others: _____
	☐ 遺產繼承 / 餽贈 Inheritance / Gift	☐ 投資獲利 Investment Income	
住屋業權: Ownership of Residence:	☐ 擁有 Owned	☐ 已抵押 Mortgaged	☐ 與家人同住 With Family
	☐ 租住 Rented	☐ 沒有抵押 Not Mortgaged	

5. 投資經驗及衍生產品認識 Investment Experience & Derivative Products Knowledge

投資經驗: Investment Experience:	☐ 香港上市證券 HK listed securities	_____ 年 years		
	☐ 香港以外上市證券 Overseas listed securities	_____ 年 years		
	☐ 牛熊證/窩輪 CBBC/Warrants	_____ 年 years		
	☐ 期貨或期權 Futures or Options	_____ 年 years		
	☐ 槓桿式外匯 Leveraged Foreign Exchange	_____ 年 years		
	☐ 單位信託基金或債券 Unit Trusts or Bonds	_____ 年 years		
	☐ 結構性產品 Structured Products	_____ 年 years		
	☐ 槓桿及反向產品 Leveraged and Inverse Products	_____ 年 years		
	☐ 其他 Others: _____			
	☐ 沒有 None			
投資目的: Investment Objective:	☐ 資本增長 Capital Appreciation	☐ 投機 Speculation	☐ 套戥 Arbitrage	
	☐ 賺取收入 Generating Income	☐ 對沖 Hedging		
風險承受能力 Risk Tolerance	☐ 低 Low	☐ 中 Medium	☐ 高 High	
預計投資時間: Investment Period	☐ 1年內 Less than 1 year	☐ 1-3年 1 to 3 years	☐ 3-5年 3 to 5 years	☐ 5年以上 More than 5 years
預計投資金額 Anticipated Trading Activity Level	☐ 港幣 30 萬以內 < HKD300,000	☐ 港幣 30 萬至 50 萬 HKD300,000 to HKD500,000		
	☐ 港幣 50 萬至 100 萬 HKD500,000 to HKD1,000,000	☐ 港幣 100 萬至 500 萬 HKD1,000,000 to HKD5,000,000		
	☐ 港幣 500 萬以上 >HKD5,000,000			
儲備資金 (月開支) Emergency Fund (months of spending)	☐ 無法應付 Unsustainable	☐ 不足三個月 < 3 months	☐ 三至六個月 3 to 6 months	
	☐ 六至十二個月 6 to 12 months	☐ 十二個月以上 > 12 months		

可接受虧損程度 Tolerable Level of Loss	☐ < 10% ☐ 51-75%	☐ 11-20% ☐ >75%	☐ 21-50%
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對衍生產品之認識:
Derivative Products
Knowledge:

☐ 本人了解衍生產品的性質和風險:
I understand the nature and risk of derivative products by:

1: 已接受有關的培訓或課程
Undergoing relevant training or attending course in

☐ 監管機構
Regulatory Authority

☐ 交易所
Exchange

☐ 大專院校
Tertiary Institution

☐ 進修學院
Education Institution

☐ 金融機構
Financial Institution

2: 於經紀公司或銀行、基金或資產管理公司、監管機構或交易所等金融機構擁有有關工作經驗
By gaining prior relevant work experience in financial institutions such as a brokerage firm or bank, fund house or asset management firm, regulatory authority or exchange.

☐ 受監管持牌人士
Regulated Licensed Person

☐ 管理層
Management

☐ 與衍生工具相關後勤
Derivatives Related Back Office

3: ☐ 於過去三年內進行了五次或以上有關衍生產品之交易
(不論是否於交易所進行交易)
Executing five or more transactions in derivative products
(whether traded on an exchange or not) within the past three years.

☐ 本人並未有衍生產品之認識
I have NO knowledge of derivative products.

6. 資料披露 Disclosure of Information

6.1 相關身份披露 Disclosure of identity

- i 閣下是否任何交易所、交易委員會、結算所、銀行或信託公司代理人、高級人員、員工；或任何引薦經紀的聯屬人；或任何證券經紀、期貨經紀或持牌法團的高級人員、合伙人、董事或員工？

Are you an agent, officer or employee of any exchange, board of trade, clearing house, bank or trust company; or an affiliate of any introducing broker; or an officer, partner, director or employee of any securities broker, futures broker or licensed corporation?

☐ 否 No

☐ 是 Yes

請詳述

Please

provide details:

交易所、交易委員會、結算所、銀行、信託公司、證券經紀、期貨經紀或持牌法團名稱：

Name of the exchange, board of trade, clearing house, bank, trust company, securities broker, futures broker or licensed corporation

閣下同意贏證券可於提供任何服務給予閣下前接觸上述人士並須得到該人士同意。

You agree that WSL may approach the above person to obtain its consent before providing any service to you.

- ii 閣下有沒有親屬於贏證券工作

Relative(s) working in WSL:

☐ 沒有 No

☐ 是 Yes

請詳述

Please provide

details:

親屬姓名

Name:

關係

Relationship:

6.2 最終受益於交易及承擔風險人士 Person ultimately benefiting from the transactions and bearing the risks:

☐ 客戶本人
The Client

☐ 其他

Other

請詳述

Please provide

details:

姓名

Name:

香港身份證 / 護照號碼

HKID / Passport No.:

地址 Address:

電話 Phone No.:

6.3 最終負責發出指示的人士 Person ultimately responsible for originating instructions:

☐ 客戶本人
The Client

☐ 其他

Other

請詳述

Please provide

details:

姓名

Name:

香港身份證 / 護照號碼

HKID / Passport No.:

地址 Address:

電話 Phone No.:

6.4 關連客戶 Connected Client

適用於贏證券的客戶 For customer of WSL only

請披露閣下是否為贏證券或其所屬集團的「關連客戶」(根據香港聯合交易所有限公司證券上市規則所定義) 及其詳情。

Please disclose whether you are a "connected client" (as defined under the Rules Governing the Listing of Securities of The Stock Exchange of Hong Kong Limited) of WSL or the group in which WSL is a member and if so, please provide the details.

☐ 否 No

☐ 是 Yes

請詳述

Please

provide details:

7. 保證金戶口客戶資料披露 Margin Account Customer's Disclosure of Information

僅適用於保證金戶口客戶 For Margin Account customer of WSL only

- i 閣下的配偶是否贏證券的保證金客戶？ Is your spouse a margin customer of WSL?

☐ 否 No

☐ 是 Yes

請詳述

Please

provide details:

配偶姓名

Spouse Name:

保證金戶口號碼

Margin Account No.:

- ii 閣下是否個人或與閣下的配偶共同控制任何贏證券的公司保證金客戶35%或以上的投票權？

Are you, either alone or with your spouse, in control of 35% or more of the voting rights of any corporate margin customer of WSL?

☐ 否 No

☐ 是 Yes

請詳述

Please

provide details:

公司名稱

Company Name:

保證金戶口號碼

Margin Account No.:

- iii 閣下是否有任何集團公司為贏證券的公司保證金客戶？

Is any of your group company a corporate margin customer of WSL?

☐ 否 No

☐ 是 Yes

請詳述

Please

provide details:

公司名稱

Company Name:

保證金戶口號碼

Margin Account No.:

8. 客戶聲明 Customer's Declaration

本人/吾等保證上述資料為真實及正確，並授權贏證券通過任何人士進行核實。本人/吾等承諾在客戶資料表格提供的資料如有任何變更，會立即通知贏證券。此客戶資料表格受贏證券的證券買賣條款及附錄(如適用)所約束。本人/吾等已閱讀並已明白贏證券買賣條款及附錄(如適用)以及提供予本人/吾等的有關個人資料(私隱)條例之通告，並且同意受不時經修改及/或補充的該等條款及該通告所約束。本人/吾等確認已按照本人/吾等選擇的語言獲提供包含於上述贏證券的證券買賣條款內的風險披露聲明，並已獲邀閱讀該風險披露聲明、提出問題及徵求獨立意見(如本人/吾等有此意願)。

I/We warrant that the above information is true and correct, and authorize WSL to verify it with any source. I/We undertake to promptly notify WSL if there is any change in the information provided by me/us in this Customer Information Statement. This Customer Information Statement is subject to the Terms and Conditions for Securities Trading of WSL and any Addendum (if applicable) from time to time. I/We confirm that I/we have read and understood the Terms and Conditions for Securities Trading of WSL and any Addendum (if applicable) from time to time and Circular relating to the Personal Data (Privacy) Ordinance provided to me/us, and agree to be bound by each of the above as amended and / or supplemented from time to time. I/We confirm that the Risk Disclosure Statement contained in the aforesaid Terms and Conditions for Securities Trading of WSL have been provided to me / us in the language of my/our choice and that I/we have been invited to read the same, to ask questions and to take independent advice (if I/we wish). (please tick the appropriate box):

本人/吾等知悉並確認已填寫年度常設授權書(如適用)，授權贏證券按照年度常設授權書的條文，處理證券戶口(定義見贏證券的證券買賣條款)，以及任何不時代表本人/吾等持有的其他綜合戶口的資金。此項授權由本人/吾等簽署年度常設授權書當日起計為期不超過12個月，並可按照年度常設授權書內具體列明的適用法律及規則續訂權限或被視為續訂權限。

I/We acknowledge and confirm that I/we have completed an Annual Standing Authority form (if applicable) whereby I/we have authorized WSL to deal with funds in the Securities Account (as defined in the Terms and Conditions for Securities Trading of WSL) and any other segregated accounts held on my/our behalf from time to time in accordance with the provisions of the Annual Standing Authority form. This authority is given for a period of not more than twelve months from the date on which I/we sign the Annual Standing Authority form and may be renewed or deemed to be renewed in accordance with the applicable laws and rules and as specified in the Annual Standing Authority form.

客戶同意使用個人資料 Customer's Consent to Use of Personal Data

本人/吾等茲確認已經仔細閱讀、完全理解並同意接受客戶協議個人資料隱私政策所載有關個人資料(私隱)條例(香港法例第486章)的通知及聲明。(請在適當空格加✓):

I/We have carefully read, fully understood and agreed to accept and be bound by the Notice and Statement relating to the Personal Data (Privacy) Ordinance (Cap.486 of the Laws of Hong Kong) as set out in the Client Agreement). (please tick the appropriate box):

- ☐ 本人/吾等同意將本人/吾等的客戶信息，用於與本人/吾等在贏證券開立或維持帳戶，以及贏證券向本人/吾等提供金融服務直接相關的直接行銷用途。
I/We consent to the use of my/our Client Information for direct marketing directly related to the opening or continuation of my/our account(s) with WSL and the provision of financial services by WSL to me/us
- ☐ 本人/吾等同意贏證券的關聯公司，或其他經慎重挑選的金融、保險、服務供應商，將本人/吾等的客戶資料用於直接行銷其他金融或保險產品及/或服務。這些產品及/或服務並不直接涉及本人/吾等在贏證券開立或維持帳戶，或贏證券向本人/吾等提供金融服務。
I/We consent to the use of my/our Client Information for direct marketing by any affiliated company of WSL or other carefully selected financial, insurance, service providers of other financial or insurance products and/or services not directly related to the opening or continuation of my/our account(s) with WSL and the provisions of financial services by WSL to me/us.

只適用於保證金戶口客戶 For Margin Account customer only

本人/吾等現申請贏證券之保證金證券貸款服務，並同意接受贏證券的保證金證券貸款條款及其證券買賣條款及其不時的修改所約束。本人/吾等確認本人/吾等已閱讀有關條款(尤其是其分別的風險披露聲明)。本人/吾等確定已按照本人/吾等選擇的語言獲提供包含於證券買賣條款及保證金證券貸款條款內的風險披露聲明，並已獲邀閱讀該風險披露聲明、提出問題及徵求獨立的意見(如本人/吾等有此意願)。本人/吾等謹此承諾及確認本人/吾等已授權贏證券根據上述保證金證券貸款條款中的相關規定處理本人/吾等的證券及證券抵押品。授權有效期為由協議日期起計不超過12個月，有關授權可根據適用的法律及規則，在(1)協議訂立之年度的最後一天或之前及(2)隨後之每個曆年的最後一天或之前，經本人/吾等同意延續或被視為延續，而每一次延續有效期為12個月。

I/We hereby apply for the Margin Financing Service of WSL and agree to be bound by the Terms and Conditions for Margin Financing of WSL as amended and/or supplemented from time to time in addition to its Terms and Conditions for Securities Trading. I/We confirm that I/we have read and understood the said Terms and Conditions (in particular their respective Risk Disclosure Statements). I/We confirm that the Risk Disclosure Statements contained in the Terms and Conditions for Securities Trading and the Terms and Conditions for Margin Financing have been provided to me/us in the language of my/our choice, and that I/we have been invited to read the same, to ask questions and to take independent advice (if I/we wish).

I/We acknowledge and confirm that I/we have authorized WSL to deal with my/our securities and securities collateral in accordance with the relevant provisions of the aforesaid Terms and Conditions for Margin Financing. This authority is given for a period of not more than twelve months from the date hereof and may be renewed by my / our consent, or deemed to be renewed, at or before the end of (1) the calendar year of the date hereof and (2) each subsequent calendar year for, in each instance, a further twelve months in accordance with the applicable laws and rules.

此戶口可根據以下指示方式操作(請在適當空格加✓):

The Account can be operated under the instruction of (please tick the appropriate box):

- ☐ 客戶本人
The Client
- ☐ 任何一位戶口持有人的指示
Either one of the account holder
- ☐ 兩位戶口持有人的指示
Both account holders
- ☐ 多於兩位戶口持有人的指示
More than 2 account holders

* (簽署式樣將被用作核證任何就戶口運作之書面指示。)

* (Specimen Signature(s) herein will be used to verify all written instructions given relating to the operation of the Account(s).)

客戶簽署 / 簽署式樣 *Client Signature / Specimen Signature*

(個人) (Individual)

姓名 Name _____ 日期 Date _____

客戶簽署 / 簽署式樣 *Client Signature / Specimen Signature*

(聯名客戶) (Joint)

姓名 Name

姓名 Name

姓名 Name

日期 Date

日期 Date

日期 Date

由持牌代表填寫 To be completed by Licensed Representative

本人 _____ (姓名以正楷書寫) 持有 C.E. 編號 _____ 確認本人已按上述客戶選擇的語言版本，為其提供贏證券的證券買賣條款及保證金證券貸款條款，本人並已邀請該客戶閱讀該等條款、提出問題及徵求獨立意見 (如客戶有此意願)。

I, _____ (name in block letters) with C.E. Number _____ confirm that I have provided the Risk Disclosure Statements contained in the Terms and Conditions for Securities Trading and the Terms and Conditions for Margin Financing of WSL in the language of the above customer's choice to the above customer and that I have invited the customer to read the same, to ask questions and to take independent advice (if customer wishes).

持牌代表簽名 Licensed Representative Signature:

日期 Date

見證客戶簽署及身份證明文件驗證 (如適用)

Certification of Client Signature and Identity Proof (if applicable)

若客戶/聯名客戶並非在贏證券之證券有限公司及期貨事務監察委員會 ("證監會") 持牌人員面前簽立本開戶表格，則以下部分應由指定人士，包括其他證監會持牌人或註冊人、太平紳士或專業人士例如執業會計師、律師或公證人，簽署驗證。而該指定人士需提供其已簽署之身份證明文件副本及專業資格證明文件之副本予我們。

If this Customer Information Statement is not executed in front of Win Securities Limited's Securities and Futures Commission ("SFC") licensed representative then it should be executed in front of a specified person including any SFC licensed or registered person, a Justice of Peace, or a professional person such as practicing certified public accountant, lawyer or notary public. The specified person should provide us with self-certified identify copy and copy of the professional qualification documents.

下述簽署人士謹此驗證上述客戶/聯名客戶簽立此客戶資料表格及其他相關文件以及有關的身份證明文件：

The undersigned person hereby certifies the signing of this Customer Information Statement and other related documents by the above Client(s) and sighting of the related identity documents of such Client(s)

Date 日期: 日 DD 月 MM 年 YY

簽署及驗證 Signed and Certified by:

姓名 Name:

所屬專業及職銜 Profession /Title:

聯絡電話 Contact No:

聯絡地址 Address:

內部專用 For Internal Use Only

開戶備忘 Account Opening Checklist

- | | |
|--|---|
| ☐ 客戶及最終受益人身份證明文件副本 (附見證人簽署)
Copy of Identity Documents of Client and Ultimate Beneficial Owner(s) with Witness Signature | ☐ 網上交易指示
Internet Trade Instruction |
| ☐ 香港身份證 / 護照 / 當地居民身份證
Hong Kong Identity Card / Passport / Local Resident Identity Card | ☐ 衍生產品的認識
Knowledge of Derivative Products |
| ☐ 銀行月結單副本
Bank Statement Copy | ☐ W-8BEN表格 W-8BEN Form |
| ☐ 第三者授權書 (附被授權人之香港身份證副本)
Third Party Authorization with HKID Copy of Authorized Person(s) | ☐ FATCA及CRS自我證明表格 - 個人
FATCA and CRS Self-Certification Form - Individual |
| ☐ 客戶及最終受益人近三個月之地址證明
Proof of Address of Client and Ultimate Beneficial Owner(s) within 3 Months | ☐ 其他文件
Other Documents |

佣金/交易限額/信貸限額及利息 Commission Rate/Trading Limit/Credit Limit & Interest

		建議收費 Proposed Rate
證券 Securities	經紀佣金(港股) Commission Rate (HK)	\$ (Min)
	網上佣金(港股) Internet Commission Rate (HK)	\$ (Min)
	信貸利息(保證金) Interest Rate (Margin)	P + %
	現金戶口逾期利息 Cash Account Overdue Interest	P + %

在贏證券的關連賬戶 Related account(s) with WSL			
配偶: (Spouse):	客戶姓名: Client name:	戶口號碼: A/C No.:	
18歲以下的子女: (Children under 18 years old):	客戶姓名: Client name:	戶口號碼: A/C No.:	
客戶為另一戶口之擔保人 / 股東 / 受益人: (Client is a guarantor / shareholder / beneficiary of another account):	客戶姓名: Client name:	戶口號碼: A/C No.:	
客戶開立另一聯名戶口: Client maintains another joint name account):	客戶姓名: Client name:	戶口號碼: A/C No.:	

	新建議 Proposed	其他關連戶口 Other Related a/c(s) 戶口號碼: A/C No.:	其他關連戶口 Other Related a/c(s) 戶口號碼: A/C No.:	總數 Total
交易限額 Trading Limit	HK\$	HK\$	HK\$	HK\$
信貸限額 Credit Limit	HK\$	HK\$	HK\$	HK\$

證券戶口交易之總承擔: TOTAL EXPOSURE for Securities Trading account:	Total:	Trading Limit: HK\$ Credit Limit: HK\$
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申請原因/說明 Reasons/Explanation

☐ 1 認識客戶年期 I have known the Client for:	☐ <1 yr	☐ 1 to 5 yrs	☐ >5 yrs
☐ 2 介紹模式 Mode of Introduction:	☐ 自薦 Walk-in	☐ 引薦 Referral:	☐ 其他 Others:
☐ 3 客戶全年收入 Client's annual income (HK\$)	資產淨值 Net worth (HK\$)		
☐ 4 客戶與贏證券或其他投資機構維持良好交易紀錄 (如其他經紀或銀行等) Client's satisfactory settlement history with WSL or other investment company (e.g. other brokers or banks, etc.)			
☐ 5 客戶在贏證券之存倉值 Client's current portfolio value maintained with WSL			
☐ 6 獲其他投資機構授予相約交易/信貸限額 Comparable trading/credit limit granted by other investment companies.			
☐ 7 其他 Others			

一同附上之有關文件 Document(s) Attached For The Application

☐ 1 收入 / 資產淨值之證明 (如銀行月結單、稅單等) Income / Net worth proof (e.g. bank statement, tax demand note, etc.)
☐ 2 交易/投資歷史紀錄 (如其他經紀或銀行月結單等) Trading/investment history/record (e.g. other brokers, bank statements, etc.)
☐ 3 信貸/交易限額協議/文件 (如其他經紀/銀行月結單或賬戶開立協議等) Credit/Trading Limit Agreement/Letter (e.g. other brokers/bank statements or account opening agreement, etc.)
☐ 4 其他 Others:

核查及同意 Reviewed & Concurred By:	經紀/證券銷售員 AE/Salesperson	日期 Date: C.E.No.: Name:
批核 Approved By:	信貸經理 Credit Manager	日期 Date: C.E.No.: Name:
批核 Approved By:	負責人員 Responsible Officer	日期 Date: C.E.No.: Name:
批核 Approved By:	合規部門 Compliance Department	日期 Date: Name:

