



## HK Noble Sky Treasure Securities Limited 香港天富寶證券有限公司

Flat E, 28/F, Legend Tower, 7 Shing Yip Street, Kwun Tong, Kowloon, Hong Kong

香港九龍觀塘成業街七號寧晉中心二十八樓E室

Exchange Participant of the SEHK & HKFE 香港聯合交易所有限公司及香港期貨交易所有限公司參與者

Licensed Corporation under the SFO with CE No: BAP743 《證券及期貨條例》下持牌法團中央編號：BAP743

### CLIENT INFORMATION FORM (Individual) 客戶資料表格 (個人)

Account Type(s) 賬戶類別	Effective Date 戶口生效日	Name of AE 客戶主任	
<input type="checkbox"/> Securities Account (Cash) 證券賬戶 (現金)	證券賬戶 (現金)	Account No. 賬戶號碼	
<input type="checkbox"/> Futures Account 期貨賬戶	期貨賬戶	Account No. 賬戶號碼	

Please read the Cash Client's Agreement / Futures Client's Agreement before signing this form

請在簽署本表格前仔細閱讀現金客戶協議書 或 期貨客戶協議書

#### 1. Personal Data 個人資料

Name of Client 客戶姓名				
Chinese 中文: _____			English 英文: _____	
ID/Passport No. 身份證/護照號碼	Place of issue 簽發地	Nationality 國籍	Date of Birth 出生日期	
Residential Address 住宅地址				
Home Phone No. 住宅電話	Mobile Phone 手提電話	Fax No. 傳真	E-mail Address 電子郵件	
Office Address 辦公地址				
Office Phone No. 辦公電話			Office Fax No. 傳真	
Correspondence 郵件地址 (Choose one only, all correspondence including Statement of Account are to be sent to 僅選其一，所有通訊包括戶口結算單請寄往)				
<input type="checkbox"/> Res. Add. 住宅地址		<input type="checkbox"/> Office Add. 辦公地址		<input type="checkbox"/> Email 電郵 (推薦)
<input type="checkbox"/> Other 其他: _____				
Bank Account Record 銀行戶口紀錄 (For fund deposit only 只作入數之用)				
			內地銀行專用	
Currency 貨幣	Name of Bank 銀行名稱	Account No. 賬戶號碼	Swift Code 銀行國際代碼	Branch & sub-branch Add. 分行支行地址
HKD 港幣				
USD 美元				
CNY 人民幣				

## 2. Financial Summary 财务资料摘要

Employer 雇主名称	Occupation 行业	Position 职位	Years of service 服务年资
Annual Income 每年总收入 (in HKD 以港币计算)			
<input type="checkbox"/> \$120,000 or less	<input type="checkbox"/> \$120,001 – \$360,000	<input type="checkbox"/> \$360,001 – \$600,000	
<input type="checkbox"/> \$600,001-1,200,000	<input type="checkbox"/> \$1,200,001 or more		
Total net worth (including real estates, cash deposits at Bank, shares, bonds, warrants) 资产净值 (包括物业、银行存款、股票、债券、认股权证)			(in HKD 以港币计算)
<input type="checkbox"/> \$1,000,000 or less	<input type="checkbox"/> \$1,000,001 – \$5,000,000	<input type="checkbox"/> \$5,000,001 or more	
Residence 住屋			
<input type="checkbox"/> Self-owned 自置物业	<input type="checkbox"/> Mortgage 按揭物业	<input type="checkbox"/> Rented 租用物业	
<input type="checkbox"/> Quarters 宿舍	<input type="checkbox"/> Living with Family 与家人同住		
<input type="checkbox"/> Other 其他: _____			

## 3. Investment Experience and Objectives 投资经验及目的

Investment Objectives 投资目的			
<input type="checkbox"/> Capital appreciation 资本增值	<input type="checkbox"/> Dividend yield 股息回报		
<input type="checkbox"/> Hedging 对冲	<input type="checkbox"/> Speculation 投机		
<input type="checkbox"/> Other 其他: _____			
Investment Experience 投资经验			
<input type="checkbox"/> Nil 没有	<input type="checkbox"/> Yes 有, Years of Experience 年资 _____		
<input type="checkbox"/> Stocks 证券	<input type="checkbox"/> Warrants 认股权证	<input type="checkbox"/> CBBC 牛熊证	
<input type="checkbox"/> Options 期权	<input type="checkbox"/> Futures 期货		
<input type="checkbox"/> Other 其他: _____			

### 3A. Client's Knowledge of Derivative Products 客户对衍生产品的认识

The Client acknowledges and understands HKNST Securities will assess whether the Client has adequate knowledge on derivative products according to the information the Client provided.

客户知悉及明白香港天富宝证券将根据以下的资料以评估客户是否对衍生工具产品有认识。

- Client had undergone training or attended courses related to derivative products.  
客户曾接受有关衍生产品的培训或修读相关课程。
- Client has current or past work experience related to derivative products.  
客户现时或过去拥有与衍生产品有关的工作经验。
- Client has executed 5 or more transactions in derivative products in the past 3 years, e.g. Derivative Warrants, Callable Bull/Bear Contracts, Stock Options, Futures & Options, and Exchange Traded Funds, etc.  
客户于过去三年内曾执行5次或以上有关衍生产品的交易,例如: 衍生权证、牛熊证、股票期权、期货及期权、及交易所买卖基金等。
- I/We (the Client) will NOT trade derivative products with and through HKNST Securities. However, if I/We (the Client) start trading derivative products with and through HKNST Securities, I/We (the Client) acknowledge and accept the risks that may be caused by trading these derivative products and agrees to bear such risks, as well as to take responsibilities involved.**  
本人(客户)不会在香港天富宝证券进行衍生产品买卖交易。如本人(客户)日后决定通过香港天富宝证券进行衍生产品买卖交易,即代表本人(客户)知悉及接受相关衍生产品所带来的风险及须承担风险及责任。

#### 4. Identity of the ultimate beneficial owner(s) of the Account 账户最终权益拥有人的身份

Are you the ultimate beneficial owner(s) of the Account? 閣下是否是此账户的最终受益人？

Yes 是。  No, detail of the ultimate beneficial owner(s) of the Account is/are: 不是，该账户最终受益人情况如下：

Name 姓名 \_\_\_\_\_ Telephone 电话 \_\_\_\_\_

Passport No./ID No./Place of Issue 护照/身份证/签发地 \_\_\_\_\_

Address 地址 \_\_\_\_\_

#### 5. Identity of the person(s) ultimately responsible for giving instructions in relation to transactions to be conducted through the Account 就此账户进行交易的最终负责发出指示人士的身份 (Not applicable if it is same as the ultimate beneficial owner(s) 若与账户最终权益拥有人相同，则不用填写此栏)

Name 姓名 \_\_\_\_\_

Passport No./ID No./Place of Issue 护照/身份证/签发地 \_\_\_\_\_

Telephone 电话 \_\_\_\_\_

Address 地址 \_\_\_\_\_

#### 6. Disclosure of Identity 相关身份披露

i) Are you, the ultimate beneficial owner(s) of the Account and/or the person ultimately responsible for giving instructions for the Account, a Licensed or registered Person, or a director or an employee of any Licensed or Registered Person of the Securities and Futures Commission in Hong Kong?  
閣下，此账户最终权益拥有人及/或就此账户进行交易的最终负责人士，是否是香港证监会的持牌或注册人士、或任何持牌法团或注册机构的董事或职员？

No, 不是。  
 Yes. Name of the Licensed or Registered Person: 是。持牌或注册人名称: \_\_\_\_\_

ii) Are you an employee of HK Noble Sky Treasure Securities Limited (“HKNST SECURITIES”)?  
閣下是否香港天富宝证券有限公司(「香港天富宝证券」)之雇员？

No, 不是。  Yes, 是。

iii) Do you have any relationship with the director(s) or employee(s) of HKNST SECURITIES?  
閣下是否与香港天富宝证券之董事或雇员有任何关系？

No, 不是。  
 Yes, 是。 Employee's Name and Relationship 雇员姓名及关系: \_\_\_\_\_

#### Notice: This Client Information Form should be accompanied by 注意：本客户资料表需附上

- 1 Copy of valid passport or ID Card. 有效护照或身份证档副本。
- 2 Current Residential Address proof (e.g. Recent 3 month's Water Bill, Bank Statement)  
现居住地址证明，如最近3个月的水电费单、银行结单。

## 6A. FATCA Identity Declaration 美国纳税人身份声明

iv) Are you a U.S. resident (including U.S. tax resident), U.S. Citizen or holder of U.S. Permanent Resident Card (Green Card)?

閣下是否美国居民（包括需要缴交美国税项之人士）、美国公民或美国永久居民身份证（绿卡）持有人？

No, 不是。  Yes, 是。

**If answer is YES, please complete the Form W9 and provide your U.S. Tax Identification Number (TIN).**

如果答案为「是」，请填写表格 W9 并提供阁下于美国国税局之 TIN 号码。

**If answer is NO, please answer the following question (v).**

如果答案为「不是」，请回答下列问题(v)。

v) Are you going to trade U.S. Securities or Commodities?

閣下会否买卖美国股票或商品期货？

No, 不会。  Yes, 会。

**If answer is YES, please complete the form W-8BEN.**

如果答案为「会」，请填写表格W-8BEN。

## 7. Client Declaration 客户声明

I represent that the information on this Client Information Form is true, complete and correct and that the representations in the attached agreement are accurate. HKNST SECURITIES is entitled to rely fully on such information and representations for all purposes, unless it receives notice in writing of any change. HKNST SECURITIES is authorized at any time to contact anyone, including client's banks, brokers or any credit agency, for the purpose of verifying the information provided on this Client Information Form.

本人在此声明在客户资料表格所提供的资料全部为真实、完整和正确，以及附上的协议中的陈述均属准确。除非香港天富宝证券接到更改有关本资料表格内容的书面通知，否则香港天富宝证券可完全依赖这些资料及陈述做一切用途。客户授权香港天富宝证券可随时联络任何人包括客户的银行、经纪或任何信贷机构等，核实本资料表内的资料及陈述。

I, the undersigned Client(s), agrees to open the Securities or Futures Account with HKNST SECURITIES upon and subject to this Client Information Form, the relevant Sections of the "Cash Client's Agreement" or "Futures Client's Agreement" and all the provisions of the rules and guidelines promulgated by HKNST SECURITIES from time to time (collectively referred to as "All Those Terms"). All Those Terms have been published at HKNST SECURITIES website. The undersigned Client(s) has already been advised by HKNST SECURITIES to seek independent legal advice for All Those Terms if necessary.

本人，下述签署客户，同意遵守此开户表格、《现金客户协议书》或《期货客户协议书》之相关章数的所有条款及条件及其他由香港天富宝证券不时发出之守则及指引内之所有条款及条件(统称“该等条款”)开立证券或期货账户，而该等条款亦已刊载于香港天富宝证券网址上。香港天富宝证券已经建议客户对上述之该等条款寻求独立法律意见(如有需要)。

Client's Signature 客户签署



Name 姓名 \_\_\_\_\_

Date signed 签署日期 \_\_\_\_\_

Name of Witness 见证人名称 \_\_\_\_\_

Signature of Witness 见证人签署 \_\_\_\_\_

## 8. Declaration by Licensed Representative/Staff 持牌代表/职员声明

I, a Licensed Representative/Staff of HKNST SECURITIES, declare that I have explained the "Risk Disclosure Statement - Securities Trading Account", "Additional Risk Disclosure Statement of the relevant Derivative Products", "Risk Disclosure Statement - Futures & Options Trading Account" in a language of the Client's choice (Chinese/English) and have also invited and suggested the Client to ask questions and take independent advice, if the client so wishes.

本人 为香港天富宝证券的持牌代表/职员，并谨此声明及确认本人已按照上述客户所选择的语言(中文或英文) 解释

- 《风险披露声明 - 证券交易账户》、  《有关衍生产品交易的额外风险披露声明书》、  
 《风险披露声明 - 期货交易账户》、

并邀请及建议客户就其内容和细则提出问题及可征求独立的意见(如客户有此意愿)。

Signed by Licensed Representative/Staff

持牌代表/职员签署

Name of Licensed Representative/Staff

持牌代表/职员姓名

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Date

日期

---

CE. Number

中央编号

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## 9. Acceptance and Signature of HKNST SECURITIES 香港天富宝证券接纳及签署

<hr style="border: none; border-top: 1px solid black;"/>	<hr style="border: none; border-top: 1px solid black;"/>
Authorized Signature 授权代表签署	Company Chop 公司印章

**(Internal Usage 內部專用)**

<input type="checkbox"/> Securities Account (Cash) 證券帳戶 (現金)	<input type="checkbox"/> Futures Account 期貨帳戶
A/C Number 帳戶號碼 _____	A/C introduced by 介紹人 _____
A/E Code 經紀號碼 _____	A/E Name 經紀姓名 _____
Brokerage 佣金 _____	Minimum Charges 最低收費 _____
Interest Rate 息率 _____	Additional Info. 其他資料 _____
Cash Trade Limit 現金買賣限額 _____	Single Transaction Limit 單項交易限額 _____
Accumulate Trade Limit 累積交易限額 _____	Specimen Scanned Date 簽名素描日期 _____
Input Date 資料輸入日期 _____	Signature 簽署 _____
Password Date 密碼日期 _____	Signature 簽署 _____
Data Checked Date 資料查核日期 _____	Signature 簽署 _____
Approved Date 批准日期 _____	Signature 簽署 _____
Document Control Date (remarks) 檔案覆核日期 _____	