

## **Individual / Joint Account Update Form**

### **個人 / 聯名戶口更新表格**

Delta Asia Securities Limited (“DAS”) is licensed to carry on Type 1, Type 2, Type 4, Type 5 and Type 9 regulated activities (Cap.571) (CE No. AAW265).

滙業證券有限公司(“滙業證券”)獲准從事第一類, 第二類, 第四類, 第五類及第九類受規管活動 (中央編號: AAW265)

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Account No 賬戶號碼: \_\_\_\_\_  
A.E. Code 經紀編號: \_\_\_\_\_  
Date 日期: \_\_\_\_\_

This form shall be read with Terms and Conditions of the Client Agreement.  
此表格須與客戶協議內的條款及條件一併閱讀。

\*Please tick the appropriate box 請在適當空格加 ✓

**ACCOUNT UPDATE FORM 戶口更新表格**

**Individual/Joint 個人/聯名**

A. Account Type 賬戶類別	
<input type="checkbox"/> Individual Account 個人賬戶	<input type="checkbox"/> Joint Account 聯名賬戶
Securities 證券	<input type="checkbox"/> Cash Securities Account 現金證券賬戶
	<input type="checkbox"/> Margin Securities Account 保證金證券賬戶
	<input type="checkbox"/> Stock Options Account 股票期權賬戶 <input type="checkbox"/> New Application 新申請 (A/C No. _____)
Futures 期貨	<input type="checkbox"/> Futures Account 期貨賬戶 <input type="checkbox"/> New Application 新申請 (A/C No. _____)
<input type="checkbox"/> Dormant Account Reactive 啟動不動賬戶	<input type="checkbox"/> Add Electronic Trading Services 加開電子交易服務

**B. Client Information 客戶資料**

**B.1 Personal Information 個人資料**

Individual/ First Joint Account Holder 個人/第一賬戶持有人	Second Account Holder 第二賬戶持有人
Name of Client 客戶名稱 (Mr. 先生/ Miss 小姐/ Mrs. 太太)	Name of Client 客戶名稱 (Mr. 先生/ Miss 小姐/ Mrs. 太太)
English Name (Last 姓) (First 名)	English Name (Last 姓) (First 名)
英文: _____	英文: _____
Chinese Name	Chinese Name
中文: _____	中文: _____
Official ID 身份證明文件	Official ID 身份證明文件
ID No. 證明號碼 _____	ID No. 證明號碼 _____
Issued Place 發出地 _____	Issued Place 發出地 _____
Type 種類:	Type 種類:
<input type="checkbox"/> HKID 香港身份證 <input type="checkbox"/> Macau ID 澳門身份證	<input type="checkbox"/> HKID 香港身份證 <input type="checkbox"/> Macau ID 澳門身份證
<input type="checkbox"/> Chinese (PRC) Citizens ID 中國公民身份證	<input type="checkbox"/> Chinese (PRC) Citizens ID 中國公民身份證
<input type="checkbox"/> Passport 護照 Expiry Date 到期日 _____	<input type="checkbox"/> Passport 護照 Expiry Date 到期日 _____
<input type="checkbox"/> Other, please specify 其他請列明 _____	<input type="checkbox"/> Other, please specify 其他請列明 _____
Date of Birth (DD/MM/YYYY)	Date of Birth (DD/MM/YYYY)
出生日期 (日/月/年): _____	出生日期 (日/月/年): _____
Place of Birth	Place of birth
出生地: _____	出生地: _____
Nationality	Nationality
國籍: _____	國籍: _____
Home Telephone No.	Home Telephone No.
住宅電話: _____	住宅電話: _____
Mobile Phone No.	Mobile Phone No.
流動電話: _____	流動電話: _____
Office Telephone No.	Office Telephone No.
公司電話: _____	公司電話: _____
Facsimile No.	Facsimile No.
傳真號碼: _____	傳真號碼: _____
E-mail Address	E-mail Address
電郵地址: _____	電郵地址: _____
Residential Address (P.O. Box not accepted)	Residential Address (P.O. Box not accepted)
住宅地址 (不接受郵政信箱)	住宅地址 (不接受郵政信箱)
_____	_____
_____	_____
_____	_____
Correspondence Address (P.O. Box not accepted)	Correspondence Address (P.O. Box not accepted)

<p>通訊地址 (不接受郵政信箱) (if different from above 如與上址不同)</p> <hr/> <hr/> <p>Nature of Occupancy 住宅類別</p> <p><input type="checkbox"/> Owned (No Mortgage) 自置 (無按揭)</p> <p><input type="checkbox"/> With Parents 與父母同住</p> <p><input type="checkbox"/> Relative's 親屬樓宇</p> <p><input type="checkbox"/> Mortgaged / Monthly Installment 按揭/每月供款</p> <p style="margin-left: 20px;"><input type="checkbox"/> HK\$15,000 or Less 或以下</p> <p style="margin-left: 20px;"><input type="checkbox"/> HK\$15,001 – HK\$25,000</p> <p style="margin-left: 20px;"><input type="checkbox"/> HK\$25,001 – HK\$35,000</p> <p style="margin-left: 20px;"><input type="checkbox"/> HK\$35,001 or above 或以上</p> <p><input type="checkbox"/> Rented / Monthly Rental 租用/每月租金</p> <p style="margin-left: 20px;"><input type="checkbox"/> HK\$15,000 or Less 或以下</p> <p style="margin-left: 20px;"><input type="checkbox"/> HK\$15,001 – HK\$25,000</p> <p style="margin-left: 20px;"><input type="checkbox"/> HK\$25,001 – HK\$35,000</p> <p style="margin-left: 20px;"><input type="checkbox"/> HK\$35,001 or above 或以上</p> <p><input type="checkbox"/> Quarters 宿舍</p>	<p>通訊地址 (不接受郵政信箱) (if different from above 如與上址不同)</p> <hr/> <hr/> <p>Nature of Occupancy 住宅類別</p> <p><input type="checkbox"/> Owned (No Mortgage) 自置 (無按揭)</p> <p><input type="checkbox"/> With Parents 與父母同住</p> <p><input type="checkbox"/> Relative's 親屬樓宇</p> <p><input type="checkbox"/> Mortgaged / Monthly Installment 按揭/每月供款</p> <p style="margin-left: 20px;"><input type="checkbox"/> HK\$15,000 or Less 或以下</p> <p style="margin-left: 20px;"><input type="checkbox"/> HK\$15,001 – HK\$25,000</p> <p style="margin-left: 20px;"><input type="checkbox"/> HK\$25,001 – HK\$35,000</p> <p style="margin-left: 20px;"><input type="checkbox"/> HK\$35,001 or above 或以上</p> <p><input type="checkbox"/> Rented / Monthly Rental 租用/每月租金</p> <p style="margin-left: 20px;"><input type="checkbox"/> HK\$15,000 or Less 或以下</p> <p style="margin-left: 20px;"><input type="checkbox"/> HK\$15,001 – HK\$25,000</p> <p style="margin-left: 20px;"><input type="checkbox"/> HK\$25,001 – HK\$35,000</p> <p style="margin-left: 20px;"><input type="checkbox"/> HK\$35,001 or above 或以上</p> <p><input type="checkbox"/> Quarters 宿舍</p> <p>Relationship with First Account Holder 與第一賬戶持有人的關係</p> <p><input type="checkbox"/> Immediate Family 直系親屬 Please specify 請註明: _____</p> <p><input type="checkbox"/> Relative 親戚</p> <p><input type="checkbox"/> Friends 朋友</p> <p><input type="checkbox"/> Other 其他 _____</p>
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**B.2 Employment Status 工作狀況**

<p>Employment Status 就業情況</p> <p><input type="checkbox"/> Self-employed 自僱</p> <p><input type="checkbox"/> Full-time employed 全職</p> <p><input type="checkbox"/> Part-time employed 兼職</p> <p><input type="checkbox"/> Retired 退休</p> <p><input type="checkbox"/> Housewife 家庭主婦</p> <p><input type="checkbox"/> Not employed 未受僱</p> <p>Current Occupation (or before Retirement) 現職業(或退休前)</p> <table style="width: 100%; border: none;"> <tr> <td><input type="checkbox"/> Business Services 商用服務業</td> <td><input type="checkbox"/> Construction 建築</td> </tr> <tr> <td><input type="checkbox"/> Education 教育</td> <td><input type="checkbox"/> Engineering 工程</td> </tr> <tr> <td><input type="checkbox"/> Finance 金融業</td> <td><input type="checkbox"/> Hotels 酒店業</td> </tr> <tr> <td><input type="checkbox"/> Government Sector 政府部門</td> <td><input type="checkbox"/> Insurance 保險業</td> </tr> <tr> <td><input type="checkbox"/> Healthcare/Beauty 醫護/美容</td> <td><input type="checkbox"/> Real Estate 房地產</td> </tr> <tr> <td><input type="checkbox"/> Retail 零售業</td> <td><input type="checkbox"/> Transportation 運輸業</td> </tr> <tr> <td colspan="2"><input type="checkbox"/> Others (Please specify) 其他 (請說明):</td> </tr> </table> <hr/> <p>Name of Employer 僱主名稱: _____</p> <p>Position 職位: _____</p> <p>Years in Occupation 從業年期: _____</p> <p>Business Address 商業地址: _____ _____ _____</p>	<input type="checkbox"/> Business Services 商用服務業	<input type="checkbox"/> Construction 建築	<input type="checkbox"/> Education 教育	<input type="checkbox"/> Engineering 工程	<input type="checkbox"/> Finance 金融業	<input type="checkbox"/> Hotels 酒店業	<input type="checkbox"/> Government Sector 政府部門	<input type="checkbox"/> Insurance 保險業	<input type="checkbox"/> Healthcare/Beauty 醫護/美容	<input type="checkbox"/> Real Estate 房地產	<input type="checkbox"/> Retail 零售業	<input type="checkbox"/> Transportation 運輸業	<input type="checkbox"/> Others (Please specify) 其他 (請說明):		<p>Employment Status 就業情況</p> <p><input type="checkbox"/> Self-employed 自僱</p> <p><input type="checkbox"/> Full-time employed 全職</p> <p><input type="checkbox"/> Part-time employed 兼職</p> <p><input type="checkbox"/> Retired 退休</p> <p><input type="checkbox"/> Housewife 家庭主婦</p> <p><input type="checkbox"/> Not employed 未受僱</p> <p>Current Occupation (or before Retirement) 現職業(或退休前)</p> <table style="width: 100%; border: none;"> <tr> <td><input type="checkbox"/> Business Services 商用服務業</td> <td><input type="checkbox"/> Construction 建築</td> </tr> <tr> <td><input type="checkbox"/> Education 教育</td> <td><input type="checkbox"/> Engineering 工程</td> </tr> <tr> <td><input type="checkbox"/> Finance 金融業</td> <td><input type="checkbox"/> Hotels 酒店業</td> </tr> <tr> <td><input type="checkbox"/> Government Sector 政府部門</td> <td><input type="checkbox"/> Insurance 保險業</td> </tr> <tr> <td><input type="checkbox"/> Healthcare/Beauty 醫護/美容</td> <td><input type="checkbox"/> Real Estate 房地產</td> </tr> <tr> <td><input type="checkbox"/> Retail 零售業</td> <td><input type="checkbox"/> Transportation 運輸業</td> </tr> <tr> <td colspan="2"><input type="checkbox"/> Others (Please specify) 其他 (請說明):</td> </tr> </table> <hr/> <p>Name of Employer 僱主名稱: _____</p> <p>Position 職位: _____</p> <p>Years in Occupation 從業年期: _____</p> <p>Business Address 商業地址: _____ _____ _____</p>	<input type="checkbox"/> Business Services 商用服務業	<input type="checkbox"/> Construction 建築	<input type="checkbox"/> Education 教育	<input type="checkbox"/> Engineering 工程	<input type="checkbox"/> Finance 金融業	<input type="checkbox"/> Hotels 酒店業	<input type="checkbox"/> Government Sector 政府部門	<input type="checkbox"/> Insurance 保險業	<input type="checkbox"/> Healthcare/Beauty 醫護/美容	<input type="checkbox"/> Real Estate 房地產	<input type="checkbox"/> Retail 零售業	<input type="checkbox"/> Transportation 運輸業	<input type="checkbox"/> Others (Please specify) 其他 (請說明):	
<input type="checkbox"/> Business Services 商用服務業	<input type="checkbox"/> Construction 建築																												
<input type="checkbox"/> Education 教育	<input type="checkbox"/> Engineering 工程																												
<input type="checkbox"/> Finance 金融業	<input type="checkbox"/> Hotels 酒店業																												
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<input type="checkbox"/> Others (Please specify) 其他 (請說明):																													
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<input type="checkbox"/> Others (Please specify) 其他 (請說明):																													

**B.3 Financial Status 財政狀況**

Source of Funds (may choose more than one option)

收入來源(可選擇一項或多項)

- Salary 薪金  
 Savings 儲蓄  
 Retirement Funds 退休基金  
 Rental 租金  
 Return on Investment 投資回報  
 Loans 貸款  
 Business Profit 業務溢利  
 Nil 沒有  
 Others 其他: \_\_\_\_\_

Annual Income (HK\$) 每年收入(港元)

- HK\$200,000 or Less 或以下  
 HK\$200,001 – HK\$500,000  
 HK\$500,001 – HK\$1,000,000  
 HK\$1,000,001 – HK\$1,500,000  
 HK\$1,500,001 – HK\$2,000,000  
 HK\$2,000,001 or above 或以上

Asset Type 資產類別

- Cash 現金/Deposit 存款  
 Land and Property 房地產  
 Company Shares 公司股份  
 Inheritance 遺產  
 Stocks 股票  
 Funds 基金  
 Bonds/Debentures 債券  
 Foreign Exchange 外匯  
 Others 其他: \_\_\_\_\_

Estimated Total Net Worth (HKD) 估計資產淨值(港元)

- HK\$1,000,000 or Less 或以下  
 HK\$1,000,001 – HK\$5,000,000  
 HK\$5,000,001 – HK\$10,000,000  
 HK\$10,000,001 – HK\$15,000,000  
 HK\$15,000,001 – HK\$20,000,000  
 HK\$20,000,001 or above 或以上

Amount of Liquidity for Investment at Account Opening

開戶時可用作投資的流動資產 (港元)

- HK\$0 – HK\$250,000  
 HK\$250,001 – HK\$500,000  
 HK\$500,001 – HK\$1,000,000  
 HK\$1,000,001 – HK\$5,000,000  
 HK\$5,000,001 – HK\$10,000,000  
 HK\$10,000,001 – HK\$30,000,000  
 HK\$30,000,001 – HK\$50,000,000  
 HK\$50,000,001 or above 或以上

Source(s) of Wealth (may choose more than one option)

財富來源 (可選擇一項或多項)

- Savings 儲蓄  
 Family Estate 家族財產/ Inheritance 遺產繼承  
 Sale of property/Assets 出售物業/資產  
 Sale of Investment 投資回報  
 Retirement Funds 退休金  
 Others (Please specify) 其他 (請說明): \_\_\_\_\_

Source of Funds (may choose more than one option)

收入來源(可選擇一項或多項)

- Salary 薪金  
 Savings 儲蓄  
 Retirement Funds 退休基金  
 Rental 租金  
 Return on Investment 投資回報  
 Loans 貸款  
 Business Profit 業務溢利  
 Nil 沒有  
 Others 其他: \_\_\_\_\_

Annual Income (HK\$) 每年收入(港元)

- HK\$200,000 or Less 或以下  
 HK\$200,001 – HK\$500,000  
 HK\$500,001 – HK\$1,000,000  
 HK\$1,000,001 – HK\$1,500,000  
 HK\$1,500,001 – HK\$2,000,000  
 HK\$2,000,001 or above 或以上

Asset Type 資產類別

- Cash 現金/Deposit 存款  
 Land and Property 房地產  
 Company Shares 公司股份  
 Inheritance 遺產  
 Stocks 股票  
 Funds 基金  
 Bonds/Debentures 債券  
 Foreign Exchange 外匯  
 Others 其他: \_\_\_\_\_

Estimated Total Net Worth (HKD) 估計資產淨值(港元)

- HK\$1,000,000 or Less 或以下  
 HK\$1,000,001 – HK\$5,000,000  
 HK\$5,000,001 – HK\$10,000,000  
 HK\$10,000,001 – HK\$15,000,000  
 HK\$15,000,001 – HK\$20,000,000  
 HK\$20,000,001 or above 或以上

Amount of Liquidity for Investment at Account Opening

開戶時可用作投資的流動資產 (港元)

- HK\$0 – HK\$250,000  
 HK\$250,001 – HK\$500,000  
 HK\$500,001 – HK\$1,000,000  
 HK\$1,000,001 – HK\$5,000,000  
 HK\$5,000,001 – HK\$10,000,000  
 HK\$10,000,001 – HK\$30,000,000  
 HK\$30,000,001 – HK\$50,000,000  
 HK\$50,000,001 or above 或以上

Source(s) of Wealth (may choose more than one option)

財富來源 (可選擇一項或多項)

- Saving 儲蓄  
 Family Estate 家族財產/ Inheritance 遺產繼承  
 Sale of property/Assets 出售物業/資產  
 Sale of Investment 投資回報  
 Retirement Funds 退休金  
 Others (Please specify) 其他 (請說明): \_\_\_\_\_

**B.4 Client Standing Settlement Bank Account 客戶常設交收銀行賬戶(Designated Bank Account 指定銀行戶口)**

	Account Type 賬戶類別	Bank Name 銀行名稱	Bank Account No. 銀行賬戶號碼	Currency 貨幣
1)*				HKD 港幣
2)				
3)				

\* Default (1) to First Standing Settlement Bank Account (HKD) 設定(1)為首要常設交收銀行賬戶(港幣)

**B.5 Method of Correspondence 通訊方法**

Please select one of the following method of communication 請選擇以下其中一項通訊方法:

\* Please notice that the statement will be sent to First Account Holder by post. 請留意結單將寄往第一賬戶持有人。

- By Mail - Residential Address 郵遞 – 住宅地址\*
- By Mail - Correspondence Address 郵遞 – 通訊地址\*
- By E-Mail 電郵

\* Please refer to Fees and Charges 請參閱服務收費簡介

**C. Ultimate Beneficial Owner(s) of the Account 賬戶最終權益擁有人**

Are you the ultimate beneficial owner(s) in relation to the Account? (i.e. Are you acting for your own account and not for a third party?)  
閣下是否此賬戶的最終實益擁有人?(即閣下是否為本身而並非為第三者運作此賬戶?)

- Yes 是
- No, details of the ultimate beneficial owner(s) is/are, 否, 賬戶的最終實益擁有人是  
(Please provide a copy of the ID card or Passport of the ultimate beneficial owner. 請提供最終受益人的身份證或護照副本。)

Name 名稱	ID/Passport No. 身份證/護照號碼	Address 地址
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**D. Authorized Person 獲授權人士**

Is the account operated by the Authorized Person? 客戶持有人之賬戶是否由授權人士操作?

- No 不是
- Yes 是 (Please fill in Authorization for Third Party to Operate Account 請填上授權第三者操作賬戶授權書)

**E. Investment Experiences and Objectives 投資經驗及目的**

First Joint Account Holder 第一賬戶持有人	Second Joint Account Holder 聯名賬戶第二持有人
1. Investment Objectives 投資目標 <input type="checkbox"/> Dividend Income 股息收入 <input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Capital Gain 資本增長 <input type="checkbox"/> Speculative 投機 <input type="checkbox"/> Others (Please specify) 其他 (請說明): _____	1. Investment Objectives 投資目標 <input type="checkbox"/> Dividend Income 股息收入 <input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Capital Gain 資本增長 <input type="checkbox"/> Speculative 投機 <input type="checkbox"/> Others (Please specify) 其他 (請說明): _____
2. Investment Experiences (may choose more than one option) 投資經驗:(可選擇一項或多項) <input type="checkbox"/> HK Listed Stocks 香港上市股票 <input type="checkbox"/> Overseas Listed Stocks 海外上市股票 <input type="checkbox"/> China A-shares 中國 A 股 <input type="checkbox"/> HK Futures & Options 香港期貨及期權 <input type="checkbox"/> Overseas Futures & Options 海外期貨及期權 <input type="checkbox"/> Mutual Funds or Unit Trust 互惠基金或單位信託 <input type="checkbox"/> Bonds 債券 <input type="checkbox"/> Others (Please specify) 其他 (請說明): _____ <input type="checkbox"/> None 沒有	2. Investment Experiences (may choose more than one option) 投資經驗:(可選擇一項或多項) <input type="checkbox"/> HK Listed Stocks 香港上市股票 <input type="checkbox"/> Overseas Listed Stocks 海外上市股票 <input type="checkbox"/> China A-shares 中國 A 股 <input type="checkbox"/> HK Futures & Options 香港期貨及期權 <input type="checkbox"/> Overseas Futures & Options 海外期貨及期權 <input type="checkbox"/> Mutual Funds or Unit Trust 互惠基金或單位信託 <input type="checkbox"/> Bonds 債券 <input type="checkbox"/> Others (Please specify) 其他 (請說明): _____ <input type="checkbox"/> None 沒有
3. Years of Experiences 投資經驗年資: <input type="checkbox"/> None 沒有 <input type="checkbox"/> 1-3 years 一至三年 <input type="checkbox"/> 4-6 years 四至六年 <input type="checkbox"/> 7-9 years 七至九年 <input type="checkbox"/> Over 10 years 超過十年	3. Years of Experiences 投資經驗年資: <input type="checkbox"/> None 沒有 <input type="checkbox"/> 1-3 years 一至三年 <input type="checkbox"/> 4-6 years 四至六年 <input type="checkbox"/> 7-9 years 七至九年 <input type="checkbox"/> Over 10 years 超過十年

**E.1 Knowledge of Structured or Derivative Products 對結構性或衍生產品知識**

First Joint Account Holder 第一賬戶持有人	Second Joint Account Holder 聯名賬戶第二持有人
<p>1. Has any of your previous trading experience ever been related to structured or derivative product(s)? 您以往曾否有買賣結構性或衍生產品的經驗?</p> <p><input type="checkbox"/> No 否      <input type="checkbox"/> Yes 是</p> <p>please state the structured or derivative product(s) you traded (may choose more than one option) 請提供有關的產品名稱 (可選擇一項或多項)</p> <p><input type="checkbox"/> Exchange Traded Convertible Bonds 交易所買賣換股債券</p> <p><input type="checkbox"/> Derivative Warrants 衍生認股證</p> <p><input type="checkbox"/> Callable Bull/Bear Contracts (CBBC) 牛熊證</p> <p><input type="checkbox"/> Exchange Traded Funds (ETF) 交易所買賣基金</p> <p><input type="checkbox"/> Futures and Options 期貨或期權合約交易</p> <p><input type="checkbox"/> Stock Options 股票期權</p> <p><input type="checkbox"/> Equity Linked Instruments / Notes (ELI/ELN) 股票掛鈎產品</p> <p><input type="checkbox"/> Others 其他: _____</p>	<p>1. Has any of your previous trading experience ever been related to structured or derivative product(s)? 您以往曾否有買賣結構性或衍生產品的經驗?</p> <p><input type="checkbox"/> No 否      <input type="checkbox"/> Yes 是</p> <p>please state the structured or derivative product(s) you traded (may choose more than one option) 請提供有關的產品名稱 (可選擇一項或多項)</p> <p><input type="checkbox"/> Exchange Traded Convertible Bonds 交易所買賣換股債券</p> <p><input type="checkbox"/> Derivative Warrants 衍生認股證</p> <p><input type="checkbox"/> Callable Bull/Bear Contracts (CBBC) 牛熊證</p> <p><input type="checkbox"/> Exchange Traded Funds (ETF) 交易所買賣基金</p> <p><input type="checkbox"/> Futures and Options 期貨或期權合約交易</p> <p><input type="checkbox"/> Stock Options 股票期權</p> <p><input type="checkbox"/> Equity Linked Instruments / Notes (ELI/ELN) 股票掛鈎產品</p> <p><input type="checkbox"/> Others 其他: _____</p>
<p>2. Have you undergone training or attended courses on structured or derivative product(s)? 您以往曾否接受有關結構性或衍生產品的培訓或修讀相關課程?</p> <p><input type="checkbox"/> No 否      <input type="checkbox"/> Yes 是</p> <p>please state the name and date of the trainings/courses 請提供培訓或修讀課程之名稱及日期: _____</p>	<p>2. Have you undergone training or attended courses on structured or derivative product(s)? 您以往曾否接受有關結構性或衍生產品的培訓或修讀相關課程?</p> <p><input type="checkbox"/> No 否      <input type="checkbox"/> Yes 是</p> <p>please state the name and date of the trainings/courses 請提供培訓或修讀課程之名稱及日期: _____</p>
<p>3. Do you have current or previous work experience relating to structured or derivative products? 你現時或過去有沒有與結構性或衍生產品有關的工作經驗?</p> <p><input type="checkbox"/> No 否</p> <p><input type="checkbox"/> Yes 是, please specify 請說明:</p> <p>Employer 僱主: _____</p> <p>Department and position 部門及職位: _____</p>	<p>3. Do you have current or previous work experience relating to structured or derivative products? 你現時或過去有沒有與結構性或衍生產品有關的工作經驗?</p> <p><input type="checkbox"/> No 否</p> <p><input type="checkbox"/> Yes 是, please specify 請說明:</p> <p>Employer 僱主: _____</p> <p>Department and position 部門及職位: _____</p>
<p>4. Have you executed five or more transactions in structured or derivative products within the past three years? 你曾否在以往三年內執行過五宗或以上結構性或衍生產品交易?</p> <p><input type="checkbox"/> No 否</p> <p><input type="checkbox"/> Yes 是, please specify 請說明:</p> <p>Relevant Financial institution(s) 相關金融機構: _____</p> <p>Product Type 產品種類: _____</p> <p>Trading Period 交易日期: _____(mm/yyyy) to _____(mm/yyyy) _____年_____月至_____年_____月</p>	<p>4. Have you executed five or more transactions in structured or derivative products within the past three years? 你曾否在以往三年內執行過五宗或以上結構性或衍生產品交易?</p> <p><input type="checkbox"/> No 否</p> <p><input type="checkbox"/> Yes 是, please specify 請說明:</p> <p>Relevant Financial institution(s) 相關金融機構: _____</p> <p>Product Type 產品種類: _____</p> <p>Trading Period 交易日期: _____(mm/yyyy) to _____(mm/yyyy) _____年_____月至_____年_____月</p>

**For clients who do not have any of the above-mentioned derivative products knowledge and experience, such clients will be considered as without knowledge of structured and / or derivatives product(s). Before trading in structured and/ or derivative product(s), the Client has read and understood the risks disclosure statements of Derivatives traded on Exchange included in the Client Agreement and agree to bear the risks involved. 如客戶沒有以上任何一項結構性及/或衍生工具產品的經驗及認識，客戶將被視作沒有結構性及/或衍生工具產品認識。在客戶買賣結構性及/或衍生工具產品之前，客戶就此確認已閱讀及理解包括於客戶協議中有關在交易所買賣的衍生產品的風險披露聲明，並同意承擔有關風險。**

I / We agree to bear the risks involved. 本人/吾等同意承擔有關風險。

**E2. Investment Profile Questionnaire 投資取向問卷**

1.	What is your age? 你的年齡是?			
	<input type="checkbox"/> A. 65 or above	[1]	<input type="checkbox"/> A. 65 or above	[1]
	<input type="checkbox"/> B. 56-64	[2]	<input type="checkbox"/> B. 56-64	[2]
	<input type="checkbox"/> C. 46-55	[3]	<input type="checkbox"/> C. 46-55	[3]
	<input type="checkbox"/> D. 36-45	[4]	<input type="checkbox"/> D. 36-45	[4]
	<input type="checkbox"/> E. 18-35	[5]	<input type="checkbox"/> E. 18-35	[5]

2.	What is your highest education level? 你的教育程度是?			
	<input type="checkbox"/> A. Primary or below 小學或以下 <input type="checkbox"/> B. Secondary 中學 <input type="checkbox"/> C. Post-secondary 大專 <input type="checkbox"/> D. Non-finance related degree or above 大學或以上(非財務學相關) <input type="checkbox"/> Finance degree or above/ equivalent finance professional qualification 大學或以上(財務學相關)/同等財務學相關專業資格	[1] [2] [3] [4] [5]	<input type="checkbox"/> A. Primary or below 小學或以下 <input type="checkbox"/> B. Secondary 中學 <input type="checkbox"/> C. Post-secondary 大專 <input type="checkbox"/> D. Non-finance related degree or above 大學或以上(非財務學相關) <input type="checkbox"/> Finance degree or above/ equivalent finance professional qualification 大學或以上(財務學相關)/同等財務學相關專業資格	[1] [2] [3] [4] [5]
3.	Which of the following statements could best describe your attitude towards investment risk? 以下哪一段陳述最能反映你對投資風險的態度?			
	<input type="checkbox"/> A. I am not willing to accept any risk. 我不願意承受任何風險 <input type="checkbox"/> B. I am trying to avoid risks but minor ones are still acceptable. 我會盡量回避風險，但可承受較低的風險 <input type="checkbox"/> C. I am trying to strike a balance between risks and returns. 我會平衡風險與回報 <input type="checkbox"/> D. I am willing to accept more risks, as I aim for more returns. 我願意承受較高的風險，以換取更高回報 <input type="checkbox"/> E. I never consider risks, as I aim to maximize returns. 我不會考慮風險，務求得到最高回報	[1] [2] [3] [4] [5]	<input type="checkbox"/> A. I am not willing to accept any risk. 我不願意承受任何風險 <input type="checkbox"/> B. I am trying to avoid risks but minor ones are still acceptable. 我會盡量回避風險，但可承受較低的風險 <input type="checkbox"/> C. I am trying to strike a balance between risks and returns. 我會平衡風險與回報 <input type="checkbox"/> D. I am willing to accept more risks, as I aim for more returns. 我願意承受較高的風險，以換取更高回報 <input type="checkbox"/> E. I never consider risks, as I aim to maximize returns. 我不會考慮風險，務求得到最高回報	[1] [2] [3] [4] [5]
4.	Which of the following annual price fluctuations would be acceptable to you? 你可以接受以下哪個年度的價格波幅?			
	<input type="checkbox"/> A. No price fluctuation 沒有價格波幅 <input type="checkbox"/> B. Price fluctuates between -5% to +5% 價格波幅介乎-5%至+5% <input type="checkbox"/> C. Price fluctuates between -10% to +10% 價格波幅介乎-10%至+10% <input type="checkbox"/> D. Price fluctuates between -15% to +15% 價格波幅介乎-15%至+15% <input type="checkbox"/> E. Price fluctuates between -20% to +20% 價格波幅介乎-20%至+20%	[1] [2] [3] [4] [5]	<input type="checkbox"/> A. No price fluctuation 沒有價格波幅 <input type="checkbox"/> B. Price fluctuates between -5% to +5% 價格波幅介乎-5%至+5% <input type="checkbox"/> C. Price fluctuates between -10% to +10% 價格波幅介乎-10%至+10% <input type="checkbox"/> D. Price fluctuates between -15% to +15% 價格波幅介乎-15%至+15% <input type="checkbox"/> E. Price fluctuates between -20% to +20% 價格波幅介乎-20%至+20%	[1] [2] [3] [4] [5]
5.	What portion of your overall income is available for investment each month? 你的整體收入有多少可用於投資?			
	<input type="checkbox"/> A. Less than 10% 少於 10% <input type="checkbox"/> B. 10% - 29% <input type="checkbox"/> C. 30% - 49% <input type="checkbox"/> D. 50% - 69% <input type="checkbox"/> E. 70% or above 多於 70%	[1] [2] [3] [4] [5]	<input type="checkbox"/> A. Less than 10% 少於 10% <input type="checkbox"/> B. 10% - 29% <input type="checkbox"/> C. 30% - 49% <input type="checkbox"/> D. 50% - 69% <input type="checkbox"/> E. 70% or above 多於 70%	[1] [2] [3] [4] [5]
6.	How many months of your household expenses could be covered by your reserve to meet unforeseen events? 你的儲備金可以支付多少個月的家庭費用以應對意外事件?			
	<input type="checkbox"/> A. None 沒有 <input type="checkbox"/> B. Less than 3 months 少於 3 個月 <input type="checkbox"/> C. 3 - 6 months 3 -6 個月 <input type="checkbox"/> D. 7 - 12 months 7 -12 個月 <input type="checkbox"/> E. More than 12 months 多於 12 個月	[1] [2] [3] [4] [5]	<input type="checkbox"/> A. None 沒有 <input type="checkbox"/> B. Less than 3 months 少於 3 個月 <input type="checkbox"/> C. 3 - 6 months 3 -6 個月 <input type="checkbox"/> D. 7 - 12 months 7 -12 個月 <input type="checkbox"/> E. More than 12 months 多於 12 個月	[1] [2] [3] [4] [5]
7.	What do you expect on your future monthly investable amount over the next 5 years? 你預計未來 5 年每月可投資之金額會怎樣?			
	<input type="checkbox"/> A. The monthly investable amount will decrease sharply 每月可投資之金額會大幅減少 <input type="checkbox"/> B. The monthly investable amount will decrease 每月可投資之金額會減少 <input type="checkbox"/> C. The monthly investable amount will remain unchanged 每月可投資之金額會維持不變 <input type="checkbox"/> D. The monthly investable amount will increase gradually 每月可投資之金額會逐漸上升 <input type="checkbox"/> E. The monthly investable amount will increase sharply 每月可投資之金額會急升	[1] [2] [3] [4] [5]	<input type="checkbox"/> A. The monthly investable amount will decrease sharply 每月可投資之金額會大幅減少 <input type="checkbox"/> B. The monthly investable amount will decrease 每月可投資之金額會減少 <input type="checkbox"/> C. The monthly investable amount will remain unchanged 每月可投資之金額會維持不變 <input type="checkbox"/> D. The monthly investable amount will increase gradually 每月可投資之金額會逐漸上升 <input type="checkbox"/> E. The monthly investable amount will increase sharply 每月可投資之金額會急升	[1] [2] [3] [4] [5]
<b>The total source of your overall risk tolerance level is</b> 閣下的整體風險承受能力的總得分是			<b>The total source of your overall risk tolerance level is</b> 閣下的整體風險承受能力的總得分是	

A/C 1 賬戶	<b>Overall Risk Tolerance Level 整體風險承受能力</b>	A/C 2 賬戶
<input type="checkbox"/>	<p><b>Investor profile 1 - Safety Oriented 投資者類型 1 - 謹慎型 (≤7)</b></p> <p><b>Risk tolerance level 風險承受程度:</b> You prefer investments with negligible price movements which can normally be sold within a week or promise to repay what you invest within a year. 你傾向於價格變動較少，並在一般情況下可在少於一星期內出售或承諾於一年內取回投資本金的投資產品。</p> <p><b>Investment objectives 投資目標:</b> This investor rating is suitable for investors that aim to protect capital and accept returns in line with savings accounts. 此投資類型適合旨在保障資金，並願意接受與儲蓄賬戶相約回報的投資者。</p>	<input type="checkbox"/>
<input type="checkbox"/>	<p><b>Investor profile 2 - Conservative 投資者類型 2 - 保守型 (8-14)</b></p> <p><b>Risk tolerance level 風險承受程度:</b> You can tolerate investments within limited negative price movements which can normally be sold within a week for a price that is close to the recent market average. 你可接受您的投資出現有限度的價格不利變動，並通常可在一星期內出售及以接近平均市價出售的投資產品。</p> <p><b>Investment objectives 投資目標:</b> This investor rating is suitable for investors that aim primarily for regular income returns along with some capital appreciation as a secondary option. 此投資類型適合旨在追求經常性收入，及同時獲取一些資本增值的投資者。</p>	<input type="checkbox"/>
<input type="checkbox"/>	<p><b>Investor profile 3 - Moderate 投資者類型 3 - 平衡型 (15-21)</b></p> <p><b>Risk tolerance level 風險承受程度:</b> You can tolerate investments with moderate negative price movements which can normally be sold within a week for a price that is close to the recent market average. 你可接受您的投資出現適度的價格不利變動，並通常可在一星期內出售及以接近平均市價出售的投資產品。</p> <p><b>Investment objectives 投資目標:</b> This investor rating is suitable for investors that aim for both regular income returns and capital appreciation. 此投資類型適合旨在追求經常性收入及資本增值的投資者。</p>	<input type="checkbox"/>
<input type="checkbox"/>	<p><b>Investor profile 4 - Aggressive 投資者類型 4 - 進取型 (22-28)</b></p> <p><b>Risk tolerance level 風險承受程度:</b> You can tolerate investments with substantial negative price movements that may have a small risk of losing their entire value and may be difficult to sell or may only be sold at a price below the recent market average. 你可接受有大幅度價格不利變動，可能有少許風險會喪失全部價值，並可能難以出售或有機會只可按低於近期平均市價出售的投資產品。</p> <p><b>Investment objectives 投資目標:</b> This investor rating is suitable for investors that aim primarily for capital appreciation and no or little regular income returns. 此投資類型適合旨在追求資本增值，而非經常性收入的投資者。</p>	<input type="checkbox"/>
<input type="checkbox"/>	<p><b>Investor profile 5 - Specialised Investing 投資者類型 5 - 專業性投資型 (29-35)</b></p> <p><b>Risk tolerance level 風險承受程度:</b> You can tolerate investments that may have a high risk of losing their entire value or even more than your initial investment and may have a highly uncertain value at any given time and also be very difficult or impossible to sell over an extended period. 你可接受可能有高風險會喪失全部價值或有關損失會超出你原本的投資金額、可能在任何特定時間內價值不明確，而非常困難或沒可能在一段較長的時間內出售的投資產品。</p> <p><b>Investment objectives 投資目標:</b> This investor rating is suitable for investors that seek very aggressive capital appreciation over time with investments that may not be liquidated before maturity. 此投資類型適合追求可能不容許於到期日前變現，並非常進取的長線資本增值的投資者。</p>	<input type="checkbox"/>
<p><b>Client's Declaration 客戶聲明</b></p> <p>I / We hereby declare and agree that all the information given above is complete, true and accurate, and is given to the best of my knowledge. I / We acknowledge that a copy of "Client Risk Profiling Questionnaire – Investment Products" has been given to me. 本人/吾等謹此聲明並同意上述所有資料均是完整、真實及準確，並且是盡本人所知而作答。本人/吾等確認收到「投資產品 – 風險承受能力問卷」的副本。</p> <p><input type="checkbox"/> I / We agree and accept the above assessment of my investment profile. 本人/吾等同意並接受上述對本人的投資類型的評估。</p> <p><input type="checkbox"/> I / We disagree with the above assessment of my investment profile and my investment profile should be: (Please explain in detail.) 本人/吾等不同意上述對本人的投資類型的評估，且認為本人的投資類型應為: (請詳細解釋。)</p>		
<p><b>Applicable to Account Holder of a joint account</b></p> <p>I / We acknowledge that (1) each account holder must complete a "Investment Profile Questionnaire" for investing through the joint account; and (2) the Delta Asia Securities Limited will use the most conservative risk tolerance profile among all joint account holders for joint accounts. <b>適用於聯名戶口持有人</b> 本人/吾等確認: (1) 聯名戶口的每位戶口持有人透過聯名戶口作出投資前，必須各自填妥本問卷; (2) 在聯名戶口的每位戶口持有人各自最近在本問就該聯名戶口所作評估的整體結果中，滙業證券有限公司會以最保守的風險承受取向作為依據。</p>		

## F. Self-Certification of Common Reporting Standard 共同匯報標準自我證明

### Important Notes 重要提示:

- ✧ This is a self-certification provided by an account holder to a reporting financial institution for the purpose of automatic exchange of financial account information. The data collected may be transmitted by the reporting financial institution to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.  
這是由賬戶持有人向申報財務機構提供的自我證明，以作自動交換財務賬戶資料用途。申報財務機構可把收集所得的資料交給稅務局，稅務局會將資料轉交到另一稅務管轄區的稅務當局。
- ✧ An account holder should report all changes in his/her tax residency status to Delta Asia Securities Limited.  
賬戶持有人應向滙業證券有限公司申報其稅務居民身份的所有變化。

### Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent (“TIN”)

居留司法管轄區及稅務編號或具有等同功能的識別編號（以下簡稱「稅務編號」）

如賬戶持有人的稅務居民身分有所改變，應盡快將所有變更通知申報財務機構。

Complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the account holder is a resident for tax purposes and (b) the account holder’s TIN for each jurisdiction indicated. Indicate all (not restricted to five) jurisdictions of residence.  
提供以下資料，列明（a）賬戶持有人的居留司法管轄區，亦即賬戶持有人的稅務管轄區（香港包括在內）及（b）該居留司法管轄區發給賬戶持有人的稅務編號。列出所有（不限於5個）居留司法管轄區。

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Business Registration Number.

如賬戶持有人是香港稅務居民，稅務編號是其香港商業登記號碼。

If the account holder is not a tax resident in any jurisdiction (e.g. fiscally transparent), indicate the jurisdiction in which its place of effective management is situated.

如果賬戶持有人並非任何稅務管轄區的稅務居民（例如：它是財政透明實體），填寫實際管理機構所在的稅務管轄區。

If a TIN is unavailable, provide the appropriate reason A, B or C:

如沒有提供稅務編號，必須填寫合適的理由：

- Reason 理由 A - The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.  
賬戶持有人的居留司法管轄區並沒有向其居民發出稅務編號。
- Reason 理由 B - The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN if you have selected this reason.  
賬戶持有人不能取得稅務編號。如選取這一理由，解釋賬戶持有人不能取得稅務編號的原因。
- Reason 理由 C - TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.  
賬戶持有人毋須提供稅務編號。居留司法管轄區的主管機關不需要賬戶持有人披露稅務編號。

#### Individual / First Joint Account Holder’s Data 個人/聯名賬戶第一持有人之資料

Jurisdiction of Residence 居留司法管轄區	TIN 稅務編號	Enter Reason A, B or C if no TIN is available 如沒有提供稅務編號，填寫理由 A、B 或 C	Explain why the account holder is unable to obtain a TIN if you have selected Reason B 如選取理由 B，解釋賬戶持有人不能取得稅務編號的原因
(1)			
(2)			
(3)			
(4)			

#### Second Account Holder 第二賬戶持有人/ 聯名賬戶第二持有人之資料

Jurisdiction of Residence 居留司法管轄區	TIN 稅務編號	Enter Reason A, B or C if no TIN is available 如沒有提供稅務編號，填寫理由 A、B 或 C	Explain why the account holder is unable to obtain a TIN if you have selected Reason B 如選取理由 B，解釋賬戶持有人不能取得稅務編號的原因
(1)			
(2)			
(3)			
(4)			

Notice: If you are not a tax resident of the jurisdiction where you currently reside (i.e. if you are not a tax resident of the jurisdiction of the current residence address declared by you in Section 1), please complete a Reasonable Explanation Form.

注意：如閣下並不是目前居留司法管轄區的稅務居民（即如閣下並不屬於第一部分填寫的現時住址的司法管轄區的稅務居民），請填寫一份合理解釋表格。

## Client's Declarations 聲明

I / We acknowledge and agree that (a) the information contained in this form is collected and may be kept by Delta Asia Securities Limited for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the account holder and any reportable account(s) may be reported by the financial institution to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the account holder may be resident for tax purposes, pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112).

I / We certify that I / We am/are the controlling person / I / We am/are authorized to sign for the controlling person # of all the account(s) held by the entity account holder(s) to which this form relates.

I / We undertake to advise Delta Asia Securities Limited of any change in circumstances which affects the tax residency status of the individual identified in Part I of this form or causes the information contained herein to become incorrect, and to provide Delta Asia Securities Limited with a suitably updated self-certification form within 30 days of such change in circumstances.

I / We declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete.

本人/吾等知悉及同意，滙業證券有限公司可根據《稅務條例》(第 112 章)有關交換財務賬戶資料的法律條文，(a) 收集本表格所載資料並可備存作自動交換財務賬戶資料用途及 (b) 把該等資料和關於賬戶持有人及任何須申報賬戶的資料向香港特別行政區政府稅務局申報，從而把資料轉交到賬戶持有人的居留司法管轄區的稅務當局。

本人/吾等證明，就與本表格所有相關的實體賬戶持有人所持有的賬戶，本人/吾等是控權人 / 本人/吾等獲控權人授權簽署本表格。

本人/吾等承諾，如情況有所改變，以致影響本表格第 1 部所述的個人的稅務居民身分，或引致本表格所載的資料不正確，本人/吾等會通知滙業證券有限公司，並會在情況發生改變後 30 日內，向滙業證券有限公司提交一份已適當更新的自我證明表格。

本人/吾等聲明就本人/吾等所知所信，本表格內所填報的所有資料和聲明均屬真實、正確和完備。

**WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. \$10,000).**

**警告：根據《稅務條例》第 80(2E)條，如任何人在作出自我證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。一經定罪，可處第 3 級（即\$10,000）罰款。**

## G. Self-Certification of U.S. Resident / Citizen 美國居民/公民自我證明

1. Are you a U.S. person (including a U.S. Resident / U.S. Citizen / U.S. Permanent Resident / U.S. Green Card Holder / U.S. Resident Alien)? 您是否為美國人士（包括美國居民/美國公民/美國永久居民/美國綠卡持有人/美國定居之外國人）？

No 否  Yes 是

Please provide your U.S. Taxpayer Identification No. (TIN) 請提供閣下的美國稅務編號：

1. Are you a U.S. person (including a U.S. Resident / U.S. Citizen / U.S. Permanent Resident / U.S. Green Card Holder / U.S. Resident Alien)? 您是否為美國人士（包括美國居民/美國公民/美國永久居民/美國綠卡持有人/美國定居之外國人）？

No 否  Yes 是

Please provide your U.S. Taxpayer Identification No. (TIN) 請提供閣下的美國稅務編號：

## H. Disclosure of Information 資料披露

1. Do you, the ultimate beneficial owner of the Account, or your spouse, partner, child, parent, spouse or partner of your child, or a closely associate with him entrusted or has been entrusted with a prominent public function, which includes a head of state, head of government, judicial or military official, senior executive of a state-owned corporation or an important political party official?

本人或最終實益擁有人，或其配偶、伴侶、子女或父母，或其子女的配偶或伴侶，或與其關係密切的人，是否擔任或曾擔任重要公職，包括國家元首、政府首長、司法或軍事官員、國有企業高級行政人員或重要政黨幹事？

No 不是

Yes 是, Please specify 請註明: \_\_\_\_\_

2. Are you an employee of a licensed corporation under the Securities and Futures Ordinance, or a registered institution under the Banking Ordinance (whether you are currently a SFC licensed representative/ HKMA registered person or not)?

閣下是否為證券及期貨註冊持牌法團或銀行業條例之註冊機構的僱員? (包括現時為證監會持牌代表/金管局註冊人員)

No 不是

Yes 是

Licensed Corporation/ Registered Institution Name

持牌法團/ 註冊機構名稱: \_\_\_\_\_ (CE No.中央編號) \_\_\_\_\_

Position

CE No.:

職位: \_\_\_\_\_ 中央編號: \_\_\_\_\_ (僱員 Employee)

**(You must provide written approval from your accredited licensed corporation or registered institution)**

**(必須出示所屬持牌法團或註冊機構之授權信)**

3. Do you, the ultimate beneficial owner(s), and/or ultimate instructor(s) have any relationship with any director or employee of DAS and / or its affiliates?  
閣下，此賬戶最終權益擁有人及/或就此賬戶進行交易的最終負責發出指示人仕，與滙業證券及/或其聯屬公司之董事或職員是否有親屬關係？

No 不是  
 Yes 是, Please specify 請註明: Name of Director/Employee 董事或職員名稱: Relationship 關係:

4. Are you, either alone or with your spouse, in control of 35% or more of the voting rights of any corporate margin account of DAS and / or its affiliates?  
閣下是否單獨或閣下的配偶共同控制任何滙業證券及/或其聯屬公司之保證金賬戶 35% 或以上投票權？

No 否  
 Yes 是, Please specify 請註明: Name of Spouse 配偶名稱: Account No. 賬戶號碼:

5. Does your spouse have a margin account with DAS and / or its affiliates?  
閣下的配偶是否滙業證券及/或其聯屬公司之保證金客戶？

No 否  
 Yes 是, Please specify 請註明: Name of Spouse 配偶名稱: Account No. 賬戶號碼:

6. Are you, the ultimate beneficial owner(s) of the Account(s) or the person ultimately responsible for originating instructions for the Account(s), the nature of business particularly susceptible to money laundering risk (e.g. money service or gaming business that handles large amount of cash)?  
閣下，此賬戶最終實益擁有人或此賬戶進行交易的最終負責發出指示人士的業務性質，是否特別容易蒙受較高的洗黑錢風險(如處理大量現金交易的金錢服務業或博彩業)？

No 不是  Yes 是, (Pls. Specify 請說明):

7. Do you maintain any other account(s) with DAS and / or its affiliates?  
閣下現時是否已持有滙業證券及/或其聯屬公司之賬戶？

No 否  
 Yes, please provide details 是，請提供詳細資料:

Account Name 賬戶名稱	
Account Type 賬戶類別	
Account No. 賬戶號碼	

### I. Client's Consent to Use of Personal Data 個人資料使用同意書

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 Part VII of the Client Agreement . In particular, 本人/吾等已仔細閱讀，完全理解並同意接受並遵守載於客戶協定第七部份有關個人資料(私隱)條例 (香港法例第 486 章) 的通知及聲明，由其是，

I / We hereby consent to the use of my/our Client Information for direct marketing directly related to the opening or continuation of my/our accounts with DAS and the provision of financial services by DAS to me/us.  
本人/吾等同意使用本人/吾等的客戶資料作為與本人/吾等於滙業證券開立或繼續維持賬戶，及滙業證券向本人/吾等提供金融服務有關的直接促銷之用。

I / We hereby consent to the use of my/our Client Information for direct marketing by DAS, any of its affiliates or other carefully selected financial, insurance or other service providers of other financial and insurance and/or services not directly related to the opening or continuation of my/our accounts with DAS and the provision of financial services by DAS to me/us.  
本人/吾等同意滙業證券及/或其任何聯屬公司或其他仔細挑選之金融、保險或產品供應商使用本人/吾等的客戶資料作為直接促銷與本人/吾等於滙業證券開立或繼續維持賬戶，及滙業證券向本人/吾等提供金融服務無關的其他金融、保險或產品供應商之用。

### J. Personal Information Collection Statement under Hong Kong Investor Identification Regime (HKIDR) and Over-the-counter Securities Transactions Reporting Regime (OTCR) 香港投資者識別碼制度及場外證券交易匯報制度 - 個人資料收集聲明

You (all of the undersigned persons) acknowledge and agree that we Delta Asia Securities Limited, may collect, store, process, use, disclose and transfer personal data relating to you (including your CID and BCAN(s)) as required for us to provide services to you in relation to securities listed or traded on the Stock Exchange of Hong Kong (SEHK) and for complying with the rules and requirements of SEHK and the Securities and Futures Commission (SFC) in effect from time to time. Without limiting the foregoing, this includes:

- (a) disclosing and transferring your personal data (including CID and BCAN(s)) to SEHK and/or the SFC in accordance with the rules and requirements of SEHK and the SFC in effect from time to time;
- (b) allowing SEHK to: (i) collect, store, process and use your personal data (including CID and BCAN(s)) for market surveillance and monitoring purposes and enforcement of the Rules of the Exchange of SEHK; and (ii) disclose and transfer such information to the relevant regulators and law enforcement agencies in Hong Kong (including, but not limited to, the SFC) so as to facilitate the performance of their statutory functions with respect to the Hong Kong financial markets; and (iii) use such information for conducting analysis for the purposes of market oversight; and
- (c) allowing the SFC to: (i) collect, store, process and use your personal data (including CID and BCAN(s)) for the performance of its statutory functions including monitoring, surveillance and enforcement functions with respect to the Hong Kong financial markets; and (ii) disclose and transfer such information to relevant regulators and law enforcement agencies in Hong Kong in accordance with applicable laws or regulatory requirements.

You also agree that despite any subsequent purported withdrawal of consent by you, your personal data may continue to be stored, processed, used, disclosed or transferred for the above purposes after such purported withdrawal of consent.

Failure to provide us with your personal data or consent as described above may mean that we will not, or will no longer be able to, as the case may be, carry out your trading instructions or provide you with securities related services (other than to sell, transfer out or withdraw your existing holdings of securities, if any).

閣下（以下所有簽名人士）明白並同意，我們（滙業證券有限公司）為了向閣下提供與在香港聯合交易所（聯交所）上市或買賣的證券相關的服務，以及為了遵守不時生效的聯交所與證券及期貨事務監察委員會（證監會）的規則和規定，我們可收集、儲存、處理、使用、披露及轉移閣下有關於閣下的個人資料（包括閣下的客戶識別信息及券商客戶編碼）。在不限制以上的內容的前提下，當中包括：

- (a) 根據不時生效的聯交所及證監會規則和規定，向聯交所及/或證監會披露及轉移閣下的個人資料（包括客戶識別信息及券商客戶編碼）；
- (b) 允許聯交所：(i)收集、儲存、處理及使用閣下的個人資料（包括客戶識別信息及券商客戶編碼），以便監察和監管市場及執行《聯交所規則》；(ii)向香港相關監管機構和執法機構（包括但不限於證監會）披露及轉移有關資料，以便他們就香港金融市場履行其法定職能；及(iii)為監察市場目的而使用有關資料進行分析；及
- (c) 允許證監會：(i)收集、儲存、處理及使用閣下的個人資料（包括客戶識別信息及券商客戶編碼），以便其履行法定職能，包括對香港金融市場的監管、監察及執法職能；及(ii)根據適用法例或監管規定向香港相關監管機構和執法機構披露及轉移有關資料。

閣下亦同意，即使閣下其後宣稱撤回同意，我們在閣下宣稱撤回同意後，仍可繼續儲存、處理、使用、披露或轉移閣下的個人資料以作上述用途。

閣下如未能向我們提供個人資料或上述同意，可能意味著我們不會或不能夠再（視情況而定）執行閣下的交易指示或向閣下提供證券相關服務，惟出售、轉出或提取閣下現有的證券持倉（如有）除外。

#### Acknowledgement and Consent 確認及同意

- I / We confirm that I / We have read and understood the content of “Personal Information Collection Statement under Hong Kong Investor Identification Regime (HKIDR) and Over-the counter Securities Transactions Reporting Regime (OTCR)” issued by Delta Asia Securities Limited and I / We agree to the Company’s use my/our personal data for the purposes set out in this statement.  
本人/吾等確認已閱讀並理解致滙業證券有限公司之《香港投資者識別碼制度及場外證券交易匯報制度 - 個人資料收集聲明》內容及本人/吾等同意致滙業證券有限公司之個人資料用於本聲明所述之目的。

## K. Client’s Declaration, Acknowledgement and Consent 客戶聲明、確認及承諾

### Application of Account Opening and Information Provided 賬戶開立申請及資料提供

I / We represent that the information on this Account Opening Form and relevant Forms is true, complete and correct and that I / We have not willfully withheld any material fact(s). I / We request you to open a Cash Securities Account / Margin Securities Account / Stock Options Account / Futures and Options Account (“the Account”) and agree to all the terms of the Agreement and to abide by the Agreement (including the General Terms and Conditions of the Client Agreement), the rules and regulations of Securities and Futures Ordinance, Hong Kong Exchange and Clearing Limited or any other regulatory body(ies) as amended from time to time governing the transactions in the Account. DAS is / are entitled to rely fully on such information and representations for all purposes, unless it receives notice in writing of any change. DAS authorized at any time to contact anyone, including my / our banks, brokers or any credit agency for the purpose of verifying the information provided on this Account Opening Form. I / We also understand that DAS will rely on the above information of Investment Experience and Product Knowledge provided to assess whether I / we have acquired knowledge of derivative products, in order to comply with relevant requirements of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission.

本人/吾等茲聲明在開戶申請書及相關表格所提供之資料全部為真實、完整及正確，本人/吾等並未刻意隱瞞任何重要事實。本人/吾等向貴公司申請開立現金證券賬戶/保證金證券賬戶/股票期權賬戶/期貨及指數期權賬戶（“該賬戶”）和同意遵守客戶協議（包括客戶協議書之一般條款）的所有條款並同意遵守證券及期貨條例、香港交易所有限公司及其他監管機構不時修定以規管於該賬戶進行的交易之條例及規則。除非滙業證券接到更改有關本開戶申請書內容的書面通知，否則上述公司有權完全依賴此等資料及聲明作一切用途。上述公司獲授權可隨時就核對本資料事宜，與任何人包括本人/吾等之銀行、經紀或任何信用機構進行諮詢。本人/吾等亦明白滙業證券根據上述投資經驗及對產品認識內的資料介定本人/吾等是否擁有對衍生產品之認識，以符合證券及期貨事務監察委員會持牌人或註冊人操守準則之有關要求。

### Risk of E-Statement Service 電子結算單的風險

I / We hereby acknowledge that Access to the internet or other electronic medium may be limited or unavailable during periods of peak demand, market volatility, systems upgrades or maintenance or for other reasons. Any communication through the internet or other electronic medium may be subject to interruption, transmission blackout, and delayed transmission due to unpredictable traffic congestion and other reasons beyond the licensed or registered person’s control. Internet is, due to technical limitation, an inherently unreliable medium of communication. As a result of such unreliability, there may be delays in the transmission and receipt of information. The statements may not be sent to the designed email address at all. Moreover, communications and personal data may be accessed by unauthorized third parties, and there are risks of misunderstanding or error in any communication and that such risks shall be absolutely borne by me/us.

本人/吾等謹此承認互聯網及其他電子媒介的接達可能因為高峰期、市場波動、系統升級或維修或因其他原因而受到限制或未能提供。透過互聯網及其他電子媒介進行的任何通信可能會受到干擾、出現傳輸中斷，及由於未能預測的互聯網通信量或因其他不受持牌人或註冊人控制的原因而導致傳輸延誤。基於技術所限，互聯網本身為不可靠的通信媒介。因此，可能會出現資訊傳輸及接收之延誤，以及結算單未必

能傳送到指定的電郵賬號。此外，未經授權第三方可能獲得通訊及個人資料，及本人/吾等須要完全承擔任何誤解通信或通信錯誤之風險。

**Additional Statement (For Futures Trading Account) 附加聲明 (只適用於期貨賬戶)**

I / We agree to read the reporting requirements and the responsibilities of reporting set out in the Futures (Contract Limits and Reportable Position) Rules and related guidance notes issued by the Securities and Futures Commission. I / We agree to make the relevant notification and fulfil the responsibilities as required by the Futures (Contract Limits and Reportable Position) Rules and SFC and HKFE. I / We understand that I / we may also directly access all relevant information at the Web-site of Securities and Futures Commission or at the Web-site of HKEx.

本人/吾等同意細閱列於期貨(合約限量及須申報的持倉量)規則及由證監會發出的有關指引的申報規則及責任。本人/吾等同意依據期貨(合約限量及須申報的持倉量)規則、證監會及香港期貨交易所之要求作出申報及完成有關責任。本人/吾等明白所有有關資料可以由證監會及香港交易所的網頁上獲得。

**L. Joint Account Signatures Arrangement 聯名賬戶簽署安排**

- Each of the above joint account holders specified is authorized to give verbal instructions and/or instruction through the Electronic Services (where applicable) in relation to the purchase or sale of any securities for the Account(s) from time to time; and  
以上每一聯名賬戶持有人均有權為賬戶買賣任何證券而不時發出口頭指示及/或透過電子服務(如適用)發出的指示；及
- Either one joint account holder signing singly, 其中一位聯名賬戶持有人單獨簽署  
 Both joint account holders signing jointly, 兩位聯名賬戶持有人共同簽署  
Validates any written instructions relating to the operation of the Account(s). 任何就賬戶運作之書面指示，方為有效。

**M. Change of Client Signature(s) 更改客戶簽署式樣**

Please come to Delta Asia Securities Limited in person to change your signatures, otherwise please be verified by qualified Witness. 客戶需親身到滙業證券有限公司，或由符合條件的見證人核實。

(1) Signature of Individual/ First Joint Account Holder 個人/ 第一賬戶持有人簽署	(2) Signature of Second Joint Account Holder 聯名賬戶第二持有人簽署
Name of Client 客戶名稱	Name of Client 客戶名稱
Date 日期	Date 日期

**N. Signature of Account Holder(s) 賬戶持有人簽署**

(1) Signature of Individual/ First Joint Account Holder 個人/ 第一賬戶持有人簽署	(2) Signature of Second Joint Account Holder 聯名賬戶第二持有人簽署
Name of Client 客戶名稱	Name of Client 客戶名稱
Date 日期	Date 日期

**(O) Declaration by Licensed Representative 持牌代表聲明**

I, \_\_\_\_\_ (name of representative) have fully explained and provided the contents of the Agreement, including but not limited to this Account Opening Form, the General Terms and Conditions, the Additional Terms and Conditions, the Disclaimers, the Data Privacy Policy and the Risk Disclosure Statement to \_\_\_\_\_ (name of client) in a language which he/she/they understand(s) and have invited the client to read, ask questions and take independent advice if the client wishes.

本人\_\_\_\_\_ (持牌代表名稱)，經以他/他們明白的語言，向\_\_\_\_\_ (客戶名稱)，邀請其閱讀，提出問題及徵求獨立意見（如客戶有此意願），並已全部清楚解釋協議書，當中包括，但不限於本開戶表、一般條款、附加條款、免責聲明、私隱政策及風險披露聲明書內的內容。

Signed by Licensed Representative 持牌代表簽署	SFC CE No. 證監會中央編號	Date 日期
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**Note 注意:**

- The terms in English version, as opposed to the Chinese translation, shall be deemed to be conclusive and definitive.  
本開戶表之英文本（相對中文譯本而言）為確實及有最終效力。
- Any deletion or amendment must be signed by all account holders.  
任何刪除或修改，必須由客戶簽名作實。

For Office Use Only 只供本公司專用				
DAS hereby appoints the following Account Executive(s) being licensed by Securities and Futures Commission or such other licensed person as from time to time it may permit and notify the Client in writing, to be primarily responsible for the affairs of the Client in respect of the Client's account(s) with DAS:				
Name of Account Executive / Relationship Manager 經紀/客戶經理名稱				
	CE No. 中央編號		Contact No. 聯絡電話	
Document checklist 文件查核清單：				
* Please have all documents signed and marked "Certified True Copy" 請在有關文件上簽署及蓋上「經認證副本」印章。				
<input type="checkbox"/> ID Card / Passport Copy 身份證 / 護照副本	<input type="checkbox"/> Address Proof (within 3 months) 地址證明 (最近三個月內)	<input type="checkbox"/> Client Standing Settlement Bank Account (Copy) 客戶常設交收銀行賬戶結單 (副本)	<input type="checkbox"/> W-8BEN Form	<input type="checkbox"/> World-Check Checking Result
<i>if applicable 如適用：</i>			<input type="checkbox"/> Authorized Person's ID Card / Passport Copy 獲授權人士身份證 / 護照副本	<input type="checkbox"/> Authorized Person's Address Proof (within 3 months) 獲授權人士地址證明 (最近三個月內)
			<input type="checkbox"/> W-9 Form	
Remarks:				
Client Information & Document checked by 客戶資料及文件核對				
Name of staff & signature 職員名稱及簽署 (CS)	Name:	Signature:	Date 日期	
Name of staff & signature 職員名稱及簽署 (LCD)	Name:	Signature:	Date 日期	
Name of staff & signature 職員名稱及簽署 (OP)	Name:	Signature:	Date 日期	
Basic Commission 基本佣金 (如不填寫, 默認為公司基本收費)				
HK Market - Brokerage (%) 港幣佣金 / 最低佣金	Phone 電話:	Internet 網上:		
US Market - Brokerage (%) 美元佣金 / 最低佣金	Phone 電話:	Internet 網上:		
Funds / Bonds - Brokerage (%) 佣金% / 最低佣金				
ELN / FCN - Brokerage (%) 佣金% / 最低佣金				
Futures Commission 期貨佣金	Stock Options Commission 股票期權佣金			
Remark 備註				
ACKNOWLEDGED AND ACCEPTED BY AN AUTHORIZED SIGNATORY(IES) FOR AND ON BEHALF OF DELTA ASIA SECURITIES LIMITED 經由滙業證券有限公司之授權代表確認及接納				
DAS Authorized Signature(s) 滙業證券授權代表簽署	Name of Authorized Person 授權代表名稱		Date 日期	