聯名帳戶(附頁)
Account Opening Form – Joint Account (Continuation)

聯名帳其他帳戶持有人資料 Other Account Holder Information for Joint Account

(A) 個人資料 Personal information

(1) 帳戶名稱(中文): ______________________ ☐ 先生 Mr. ☐女仕 Ms.
帳戶名稱(英文) Account name: ______________________

(2) 證件號碼 ID/Passport No.: ______________________

(3) 證件類型 Type of Certificate:
☐ 香港居民身份證 Hong Kong ID
☐ 中國內地居民身份證 Mainland China ID
☐ 中國護照/內地港澳通行證 Mainland China Passport
☐ 其他國家/地區證件類型 Other Country Passport: ______________

(4) 證件到期日期 Expiry Date:
(香港居民身份證不適用)
(Not applicable for HKID)
☐長期有效 Permanent 或 or ________ 年 year ________ 月 month ________ 日 day

(5) 簽發國家 Country of Issue: ☐中國香港 China HK ☐中國 China ☐美國 US ☐其他 Others: ________

(6) 國籍 Nationality: ☐中國香港 China HK ☐中國 China ☐美國 US ☐其他 Others:
多重國籍 Multiple Nationality ☐ 否 No ☐ 是 Yes, 國籍為 ________

(7) 出生日期 Date of Birth: ________ 年 year ________ 月 month ________ 日 day

(8) 出生地點 Place of Birth: ☐中國香港 China HK ☐中國 China ☐美國 US ☐其他 Others: ________
省/州 Province/State: ________ 鎮/市 Town/City: ________

(9) 電子郵箱 E-mail Address: ______________________

(10) 手提電話號碼 Mobile Phone No.: (國家編號 Country Code:) ________

(11) 住宅電話號碼 Home Phone No.: (國家編號 Country Code:) ________ 或 or ☐ 沒有 Not applicable

(12) 傳真號碼 Fax No.: (國家編號 Country Code:) ________ 或 or ☐ 沒有 Not applicable

(13) 住宅地址 Residential Address: ______________________
(請提供地址證明,恕不接受郵政信箱)
(Please provide address proof, P.O Box is not accepted) ______________________

(14) 婚姻狀況 Marital Status: ☐未婚 Single ☐已婚 Married ☐其他 Others: ________

(15) 教育程度 Education Level: ☐小學 Primary ☐中學 Secondary ☐預科/專上學院 Post-Secondary
☐大學或以上 University or above

(16) 工作狀況 Work Status: ☐受僱* Employed ☐自僱/企業主* Self-employed ☐家庭主婦 Housewife
(*請填寫以下第 17 項
Please fill in item 17 in below)
☐退休 Retired ☐其他,請說明 Others: ________

(17) 受僱/自僱詳情
Details of employed or self-employed:

僱主公司名稱 Employer Name: ______________________

公司業務性質 Nature of Business: ______________________

工作職位 Job Title: ______________________

公司工作年資 Years of Service: ________ 年 Year(s)

辦公電話 Office Phone No.: ________ 或 or ☐沒有 Not applicable

辦公傳真號碼 Fax No.: ________ 或 or ☐沒有 Not applicable

辦公地址 Office Address: ______________________

____
郵編 Postal Code ( )

預期每年薪金、佣金/獎金收入(港元)
Estimated Annual Salary, Commission/Bonus Income (HKD):
☐ $200,000 以下 Below ☐ $200,001 - $500,000 ☐ $500,001 - $1,000,000
☐ $1,000,001 - $2,000,000 ☐ $2,000,000 以上 Above

聯名帳戶(附頁)
Account Opening Form – Joint Account (Continuation)

(B)客戶投資屬性問卷 Client Investment Suitability Questionnaire

(1) This assessment is designed to help you consider your attitude toward investment risk. It asks questions which provide some indications of the overall general attitude toward risk for a typical investor displaying your personal investment refer to our Assessment Disclaimer Statement.
本評估表依據合理的假設及預估架構設計，協助您了解本身的風險承受度、理財需求與投資屬性，方便您設定理財規劃。相關估數據僅供參考並不一定實際反映您對投資風險的態度。請參閱評估表責任聲明說明。

Please tick the appropriate boxes. 請於適當空格填上「✔」

1. 您目前之資產淨值(港幣) What is your currently net worth?
   □ a. 少於 Less than $500,000 [Score 1 分]
   □ b. $500,000 至 to $2,000,000 [Score 3 分]
   □ c. $2,000,001 至 to $8,000,000 [Score 5 分]
   □ d. $8,000,001 至 to $40,000,000 [Score 7 分]
   □ e. $40,000,001 或以上 or above [Score 10 分]

2. 您目前之投資累積資歷 What is your currently years of investment experience?
   □ a. 完全沒有經驗 None [Score 1 分]
   □ b. 1 – 3 年 years [Score 3 分]
   □ c. 4 – 6 年 years [Score 5 分]
   □ d. 7 – 9 年 years [Score 7 分]
   □ e. 10 年或以上 years or above [Score 10 分]

3. 您可承受最大投資組合下跌之幅度 You can bear which of the following investment portfolio extents to be fall?
   □ a. 0% [Score 1 分]
   □ b. -5% [Score 3 分]
   □ c. -10% [Score 5 分]
   □ d. -15% [Score 7 分]
   □ e. -20% 或以上 or above [Score 10 分]

4. 若您之投資資產整體下跌超過 15%，對您的生活影響程度為何 If there is a fall of 15% or over in your overall investment portfolio, what level of your life be suffered?
   □ a. 無法承受 Intolerable [Score 1 分]
   □ b. 影響程度大 Great impact [Score 3 分]
   □ c. 中度影響 Medium impact [Score 5 分]
   □ d. 影響程度小 Little impact [Score 7 分]
   □ e. 不會有影響 No impact [Score 10 分]

5. 如您之投資組合已超過預設之損或停利點時，您會採取以下何種行動 If your investment holding exceeds the preset stop-loss or limit-selling price, which of the following action would you adopt?
   □ a. 立即賣出所有部位 Sell out immediately [Score 1 分]
   □ b. 先賣出一半或以上之部位 Sell half or more [Score 3 分]
   □ c. 先賣出一半以內之部位 Sell not more than half [Score 5 分]
   □ d. 先暫時觀望 5 天 Hold and observe for 5 days [Score 7 分]
   □ e. 繼續持有直至回本或不漲為止 Hold until fully recovered or stop in price-rising [Score 10 分]

6. 您對以下投資報酬及風險組合之偏好 You prefer which of the below investment portfolios with particular risk and return?
   □ a. 沒有概念 No idea [Score 1 分]
   □ b. 絕對低度風險投資組合 + 接近保本之報酬 Absolute low risk investment portfolios + secure of principal protection [Score 3 分]
   □ c. 低度風險投資組合 + 低報酬 Low risk investment portfolios + low return [Score 5 分]
   □ d. 中度風險投資組合 + 中報酬 Medium risk investment portfolios + medium return [Score 7 分]
   □ e. 高度風險投資組合 + 高報酬 High risk investment portfolios + high return [Score 10 分]

7. 您認為購買投資產品時應持有多久才合適 (一般投資越長波動越少而錄得之虧損也較低，但資金會被鎖定一段較長時間) How long will your investment horizon be when you investing in investment products? (In general, the longer the investment horizon, the more you can ride out the ups and downs of the market, i.e. the chance to lose money is generally lower, but the money need s to be locked in long time)?
   □ a. 10 年或以上 years or above [Score 1 分]
   □ b. 6 – 10 年 years [Score 3 分]
   □ c. 3 – 6 年 years [Score 5 分]
   □ d. 1 – 3 年 years [Score 7 分]
   □ e. 1 年或以下 year or below [Score 10 分]

8. 您投資主要考慮因素 What is your main concern when you invest?
   □ a. 保持資金之流動性 Maintain high liquidity of assets [Score 1 分]
   □ b. 保本 Secure of principal protection [Score 3 分]
   □ c. 賺取固定收益 Earn fixed income [Score 5 分]
   □ d. 賺取資本利得 Earn capital gain and interest [Score 7 分]
   □ e. 追求最大報酬 Maximize absolute return [Score 10 分]

9. 您目前持有下任何投資產品 (可複選並以最高分計算) Are you currently holding any of the following investment products (you can select more than one and score the highest one)?
   □ a. 現金、存款、存款證、保本產品 cash, Deposits, certificates of deposit, capital protected products [Score 1 分]
   □ b. 債券、債券基金 Bond, bond funds [Score 3 分]
   □ c. 外幣、非保本之貨幣掛鈎結構投資產品 Foreign currencies, non-capital protected currency linked structured products [Score 5 分]
   □ d. 股票、開放式基金(不包含債券基金或貨幣市場基金) 、非保本之股票掛鈎結投資產品、具投資成分的保險計劃、商品 Stock, open-end funds excluding bond funds and money market funds, non-capital protected equity linked structured products, investment-linked insurance plans, commodities [Score 7 分]
   □ e. 期權、期貨、認股權證 (俗稱「窩輪」) Options, futures, warrants [Score 10 分]

10. 您對金融市場和投資的認識有多少 What is your knowledge of financial markets and investments?
   □ a. 無認識：我對金融市場一無所知也沒有興趣深入了解 None: I have no knowledge of financial markets and all and have no interest in understanding them [Score 1 分]
   □ b. 低水平：我對金融市場只有一基金知識，例如股票和債券之分別 Low: I have only some basic knowledge of financial markets such as differences between stocks and bonds [Score 3 分]
   □ c. 中等水平：達基本佑以上之水平，明白分散投資的重要性並作出相應安排(即把資金配置於不同類別的投資以分散風險 Medium: I hae above basic knowledge and understand the importance of diversification and practice it (i.e. I have my money in different types of investments to spread the risks) [Score 5 分]
   □ d. 高水平：我懂得閱讀一間公司的財務報表並明白影響股票和債券價格的因素 High: I know how to read a

	company's financial reports and understand the factors affecting the prices of stocks and bonds [Score 7 分] □ e. 精通：我熟識大部份金融產品(包括債券、股票、認股權證、期權及期貨) 並明白影響這些金融產品的風險和表現的各項因素 Advanced: I am familiar with most financial products (including bonds, stocks, warrants, options and futures) and understand the various factors that may affect the risk and performance of these financial product. [Score 10 分]

客戶風險等級評分方式 Grading:

總評分 Total Score	客戶風險等級 Grade	投資屬性分析 Description
10 ≤ 總評分 Total Score ≤ 35	第一級 1	穩健型 Secure
36 ≤ 總評分 Total Score ≤ 65	第二級 2	平穩型 Moderate
66 ≤ 總評分 Total Score	第三級 3	進取型 Aggressive

總評分 Total Score: ________________

(2) 以下問券為確保本公司所提供給閣下有關衍生產品的服務遵從〈證券及期貨事務監察委員會持牌人或註冊人操守準則〉中的責任。
The following questionnaire is designed to ensure the provision of services to you with respect to derivative products are in compliance with our obligations under the Code of Conduct issued by the Securities and Futures Commission.

(a) 本人曾接受有關衍生產品的培訓或修讀相關課程 I have undergone training or attended courses on derivative products

□ 否 No

□ 是 Yes (請提供詳細資料如下 Please provide detail as below)

(i) 培訓或相關課程之名稱及提供培訓或相關課程之機構名稱 Name of course or training and name of course or training provider

____

(ii) 培訓或相關課程之有關投資產品種類 Type(s) of derivative products relevant to the training or course

____

(iii) 培訓或相關課程是否為閣下提供衍生工具的性質和風險的一般知識
Whether the training or course provide you with general knowledge of the nature and risks of derivative products

□ 否 No

□ 是 Yes

(b) 本人現時的工作經驗與衍生產品有關 My current working experience related to derivative products

□ 否 No

□ 是 Yes (請提供詳細資料如下 Please provide detail as below)

(i) 僱主名稱 Name of employer: ____

(ii) 職稱 Position: ____________________

(iii) 請簡述閣下的工作如何與衍生產品有關 Please briefly state how your work relates to derivative products

____

(iv) 衍生產品有關工作經驗之年資 Years of working experience which relates to derivative products

____

(c) 本人過去的工作經驗與衍生產品有關 My previous work experience relates to derivative products

□ 否 No

□ 是 Yes (請提供詳細資料如下 Please provide detail as below)

(i) 前僱主名稱 Name of previous employer: ____

(ii) 職稱 Position: ____________________

(iii) 請簡述閣下過去的工作如何與衍生產品有關 Please briefly state how your previous work relates to derivative products

____

(iv) 過去與衍生產品有關工作經驗之年資 Years of previous working experience which relates to derivative products

____

(d) 本人有買賣衍生產品的經驗 I have prior trading experience in derivative products

□ 否 No

□ 是 Yes (請提供詳細資料如下 Please provide detail as below)

(i) 以往曾買賣的衍生產品種類 Type of derivative products traded:

____

(ii) 過去三年曾買賣衍生產品的交易數目 Number of transaction within the past three years

____

聯名帳戶(附頁)

Account Opening Form – Joint Account (Continuation)

注意: 請提供文件認證閣下對衍生產品的認識/經驗。如客戶沒有衍生工具的相關認識/經驗則不能買賣衍生產品。

Attention: Please provide document(s) to show your knowledge / experience with the derivative products. Client cannot transact derivative products if client have no derivative related knowledge / experience.

****

客戶確認 Client confirmation:

1. 本人已獲悉被評估為 I have been informed of being assessed as

   ☐ 穩健型 Secure ☐ 平穩型 Moderate ☐ 進取型 Aggressive

2. 本人已獲悉以上投資屬性，唯仍然願意以下較高風險之投資工具, 及此乃本人的決定

   Although I have been my above investment suitability product, I still want to invest in following higher risky investment products

   ☐ 中風險 Medium-risk* ☐ 中至高風險 Medium-high-risk ☐ 高風險 High-risk**

* 一般情況下，證券保證金及股票期權賬戶屬中度/高度承受風險程度。
Under normal case, Securities Margin Account & Stock Options Account belongs to Medium/High risk tolerance category.

** 一般情況下，期貨帳戶屬高度承受風險程度。 Under normal case, Futures Account belongs to High risk tolerance category.

(C) 美國《海外賬戶稅收合規法案》Foreign Account Tax Compliance Act ("FATCA")

客戶是否美國聯邦所得稅所定義的特定美國人、美國公民、美國永久居民 (含綠卡持有人) 或持有美國國籍？Is the Client a United States ("US") Person, Resident of US (Including Green Card Holder) or having US nationality? ☐否 No ☐是，請說明 Yes, please specify________________________
客戶會否交易美國市場產品? Is the Client will trade US Market Products? ☐不會 No ☐會 Yes,如會請填寫 W8BEN 表格 If Yes, please fill W8BEN Form

(D) 居留司法管轄區及稅務編號或具有等同功能的識辨編號（以下簡稱「稅務編號」）Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN")

請提供以下資料，列明（a）帳戶持有人的居留司法管轄區，亦即帳戶持有人的稅務管轄區（包括香港在內）及（b）該居留司法管轄區發給帳戶持有人的稅務編號。請列出**所有**（不限於 5 個）居留司法管轄區。
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.

如沒有提供稅務編號，必須填寫合適的理由：
If a TIN is unavailable, provide the appropriate reason A, B or C:

理由 A – 帳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 A – The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.

理由 B – 帳戶持有人不能取得稅務編號。如選取這一理由，解釋帳戶持有人不能取得稅務編號的原因。
Reason 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.

理由 C – 帳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帳戶持有人披露稅務編號。
Reason 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.

居留司法管轄區 Jurisdiction of Residence	**稅務編號 TIN (如香港或中國身份證號碼)**	**如沒有提供稅務編號，填寫理由 A、B 或 C Enter Reason A, B or C if no TIN is available**	**如選取理由 B，解釋帳戶持有人不能取得稅務編號的原因 Explain why the account holder is unable to obtain a TIN if you have selected Reason B**
☐ 香港 Hong Kong	☐ 第 1 部份的身份證號碼 Section 1 ID No.________________ ☐ 其他 Others___________________	☐ 不適用 N/A ☐ A ☐ B ☐ C	
☐ 中國 China	☐ 第 1 部份的身份證號碼 Section 1 ID No.________________ ☐ 其他 Others_________________	☐ 不適用 N/A ☐ A ☐ B ☐ C	
☐ 其他 Others_______________		☐ 不適用 N/A ☐ A ☐ B ☐ C	
☐ 其他 Others_______________		☐ 不適用 N/A ☐ A ☐ B ☐ C	
☐ 其他 Others_______________		☐ 不適用 N/A ☐ A ☐ B ☐ C	

如帳戶持有人是香港或中國稅務居民，稅務編號是其香港或中國身份證號碼。

If the account holder is a tax resident of Hong Kong or China, the TIN is the Hong Kong or China Identity Card Number.

聯名帳戶(附頁)
Account Opening Form – Joint Account (Continuation)

(E)客戶個人資料之使用及轉移 Use and Proving Client's Personal Data to Another Person

客戶是否已經閱讀及理解《個人資料收集聲明》，並同意個人資料被使用及/或轉移予集團其他成員公司用於直接促銷目的？ If the Client has read and understood the <Personal Data Collection Statements> and agreed the personal data to be used by the Company and/or to be provided to other Group members for direct marketing purpose? ☐ 同意 Yes ☐ 不同意 No

(F) 防止洗黑錢/恐怖分子籌資 Anti-Money Laundering and Counter – Terrorist Financing

客戶是否擔任或曾擔任重要公職之政界人仕 (包括國家元首、政府首長、資深從政者、高級政府官員、司法或軍事官員、國有企業高級行政人員及重要政黨幹事)，或以上人仕之家人 (包括配偶、伴侶、子女或父母，或該名個人的子女的配偶或伴侶) 及其他關係密切的人？Is the Client linked to politically exposed persons? (Politically exposed person – individual who is or has been entrusted with prominent public function e.g. head of state/government, senior politician, senior executive of government-owned corporation, important political party official, etc.), or the closed members of the aforesaid person (including spouse, companion, children or parents, or spouse or companion of the children) and other closely connected person? ☐ 否 No ☐ 是，請說明 Yes, please specify___________________________
客戶 (包括聯名帳戶各持有人及合夥帳戶之各合夥人) 的業務性質/職業是否特別容易蒙受較高的洗錢/恐怖分子資金籌集風險或接觸大量現金往來 (如貨幣兌換、博彩業、珠寶業、娛樂服務業)？ Is the nature of the Client (including any of the joint account holders and partners of a partnership firm)'s business particularly susceptible to money laundering/terrorist financing risk? (For example, money changer or casino business that handles large amount of cash) ☐ 否 No ☐ 是，請說明 Yes, please specify____________________________

(G) 其他披露 Section 9 - Other Disclosures

(1) 客戶其配偶及各自的關連人仕(父母,兄弟,姐妹)是英明證券有限公司的客戶？若是者，請提供帳戶名稱及號碼。 Is the Client, his/her spouse and his/her related person(s) (Parents, brothers, sisters) a Client of Phoenix Capital Securities Limited? If so, please provide the account name(s) and number(s). ☐ 否 No ☐ 是 Yes

帳戶名稱 AC Name: ____________________ 帳戶號碼 AC No.: ____________________ 關係 Relationship: ____________________

(2) 客戶是否英明證券有限公司僱員或董事之親屬？Is the Client a relative of an employee or a director of Phoenix Capital Securities Limited?

☐ 否 No ☐ 是 Yes 名稱 Name: ____________________ 關係 Relationship: ____________________

(3) 客戶是否香港證券及期貨事務監察委員會註冊或持牌人仕，或該人仕之僱員或董事，或香港金融管理局的有關人仕？若是，請提供註冊或持牌法團名稱及同意客戶開戶之證明文件。Is the Client licensed by or registered with the Hong Kong Securities and Futures Commission or an employee or director of such person, or a relevant individual of the Hong Kong Monetary Authority? If so, please provide the name of the registered or licensed corporation and the supporting documents indicating consent to the Client's account opening.

☐ 否 No ☐ 是 Yes

中央編號 CE No.: ____________________ 持牌/註冊人仕名稱 Name of licensed/registered person: ____________________

(4) 客戶是否與任何地方的交易所上市公司的高級人員/董事/大股東有任何的關連？Does the Client have relationship with senior officers/directors/substantial shareholders of any company whose shares are traded on any exchange? ☐ 否 No ☐ 是 Yes

上市編號 Stock Code: ____________________ 公司名稱 Company Name: ____________________

(5) 客戶是否個人或與配偶共同控制英明證券的公司證券保證金客戶 35%或以上的投票權？Is the Client either alone or with spouse, in control of 35% or more of the voting rights of any corporate securities margin Client of Phoenix Capital Securities Limited?
☐ 否 No ☐ 是 Yes

帳戶名稱 AC Name: ____________________ 帳戶號碼 AC No.: ____________________

(6) 介紹人姓名 Introducer's Name: ____________________ ,介紹人為英明證券之員工? Introducer is the employee of Phoenix Capital Securities Ltd?

☐ 否 No ☐ 是 Yes 關係 Relationship: ____________________

(H) 與聯名帳戶第一持有人關係聲明
Declaration of Relationship with the First Account Holder for Joint Account

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