



**3. Investment Experiences and Objectives 投資經驗及目的 (Please check one or more 請選擇下列一項或多項)**

Investment Experiences 投資經驗:  Nil 沒有  Stocks 證券  Warrants 認股權證  Options 期權  Futures 期貨  Foreign Currency 外匯  Bullion 貴金屬  
 Fund 基金  Other Derivatives 其他衍生工具

Years of Experiences 投資經驗年資:  Nil 沒有  1-3 years 一至三年  3-5 years 三至五年  5-10 years 五至十年  Over 10 years 超過十年

Investment Objectives 投資目的:  Capital Appreciation 資本增長  Dividend Yield 定期收入  Hedging 對沖  Speculation 投機  Others 其他: \_\_\_\_\_

**4. Anticipated Level of Transactions per month section 預計每月交易概況**

Anticipated Investment Products 預計投資產品  
 Stocks 證券  Warrants 認股權證  Options 期權  Futures 期貨  
 Foreign Currency 外匯  Bullion 貴金屬  Fund 基金  Bonds 債券  
 Other Derivatives 其他衍生工具  Others 其他: \_\_\_\_\_

Anticipated Number of Transactions Per Month 預計每月交易次數  
 < 20  20-50  > 50  Others 其他: \_\_\_\_\_

Anticipated Amount of Transactions Per Month (HK\$) 預計每月交易金額 (港幣)  
 < 500,000  500,000-2,000,000  2,000,001-5,000,000  > 5,000,000

**5. Identity of the ultimate beneficial owner(s) of the Account 賬戶最終權益擁有人的身份**

The Client 客戶本人  Others (Please Specify) 其他 (請填寫):

Name 名稱: ID / Passport No. 身份證 / 護照號碼:  
 Nationality 國籍: Address 地址:

**6. Identity of the person(s) ultimately responsible for giving instructions in relation to transactions to be conducted through the Account 就此賬戶進行交易的最終負責發出指示人士的身份**

(Not applicable if it is same as the ultimate beneficial owner(s) 若與賬戶最終權益擁有人相同，則不用填寫本欄)

Name 名稱:	ID / Passport No. 身份證 / 護照號碼:	Nationality 國籍:	Address 地址:
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**7. Disclosure of Identity 相關身份披露**

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士，是否香港證券及期貨事務監察委員會的持牌或註冊人士，或任何持牌或註冊人士之董事或職員？

No 不是  Yes 是: Name of the Licensed or Registered Person(s) 持牌或註冊人士名稱:

**8. Related Account 關連賬戶**

Do you, the ultimate beneficial owner(s) of the Account and/or the person ultimately responsible for giving instructions for the Account ("Relevant Person(s)"), have any relationship with the director(s) or employee(s) of Haitong International Securities Group Limited or any of its subsidiaries? 閣下，作為此賬戶最終權益擁有人及/或此賬戶進行交易的最終負責發出指示人士 (「有關人士」)，與海通國際集團有限公司或其附屬公司之董事或職員是否有親屬關係？

No 不是  Yes 是: Name of the Relevant Person(s) 有關人士名稱:  
 Name of the director(s) or employee(s) 董事或職員之姓名:  
 Relationship 關係:  Husband / Wife 丈夫 / 妻子  Father / Mother / Son / Daughter 父親 / 母親 / 兒子 / 女兒  Other 其他:

**9. Related Margin Client 關連保證金客戶 (保證金證券賬戶適用 / Margin Securities Trading Account Only)**

(a) Does your spouse have a margin account with Haitong International Securities Company Limited? 閣下的配偶是否持有海通國際證券有限公司的保證金證券賬戶？


No 不是  Yes 是: Name of Spouse 配偶姓名: Client ID 客戶號碼:

(b) Do you control, either alone or with your spouse, 35% or more of the voting rights of another margin client of Haitong International Securities Company Limited? 閣下是否單獨或與配偶共同控制海通國際證券有限公司其他保證金客戶之百分之三十五或以上的投票權？

No 不是  Yes 是: Name of Spouse 配偶姓名: Name of Relevant Company(ies) 有關公司名稱: Client ID 客戶號碼:

**10. Declaration 聲明**

I / We represent that the information on this Client Information Statement is true, complete and correct that the representations in the attached agreement are accurate. Haitong International Securities Company Limited /Haitong International Futures Limited/ iBest Bullion Limited/ Haitong International Asset Management Limited/ Hai Tong Asset Management (HK) Limited/ Haitong International Investment Managers Limited/ iBest Wealth Management Limited/ iBest Consultants Limited/ Haitong International Credit Company Limited/ Haitong International Finance Company Limited/ iBest Investment Services Limited ("Companies") is / are entitled to rely fully on such information and representations for all purposes, unless it / they receive(s) notice in writing of any change. I / We also undertake to notify the Companies immediately (in any event, within 30 days) of any changes to the information given above. Upon request, I / We shall also promptly (in any event, within 30 days) provide the Companies any additional documentation, including without limitation to the self-certification, in relation to the changes to such information. If the additional documentation is not provided timely, I / We understand that the Companies may disclose and / or submit certain of my / our account information in relation to the changes to the competent regulatory or Government Authority in the relevant jurisdiction(s) (including without limitation to U.S. Internal Revenue Service, U.S. Department of the Treasury and the Hong Kong Inland Revenue Department) for the purpose of complying with FATCA, Common Reporting Standard and other related laws, regulations, codes and rules. The Companies are authorized at any time to contact anyone, including my / our banks, brokers or any credit agency, for the purposes of verifying the information provided on this Client Information Statement. 本人/ 吾等茲聲明在客戶資料表所提供之資料全部真實、完整及正確，並且所附協定內容皆為準確。除非海通國際證券有限公司/ 海通國際期貨有限公司/ iBest Bullion Limited/ 海通國際資產管理有限公司/ 海通資產管理（香港）有限公司/ 海通國際投資經理有限公司/ iBest Wealth Management Limited/ iBest Consultants Limited/ 海通國際信託有限公司/ 海通國際財務有限公司/ iBest Investment Services Limited 接到更改有關本資料表內容的書面通知，否則上述公司有權完全依賴此等資料及聲明作一切用途。本人/ 吾等亦同意如上述資料有任何改變，會立即（在任何情況下，在30天內）通知上述公司。如上述公司要求，本人/ 吾等亦會盡快（在任何情況下，在30天內）向上述公司提供所需的額外文件，包括但不限於更新資料變更後的自我證明。如本人/ 吾等未能在指定時間內提供所需的額外文件，本人/ 吾等明白上述公司可能根據有關的資料變更向相關司法管轄區內的合資格監管及/ 或政府當局（包括但不限於美國國家稅務局、美國財政部和香港稅務局）披露及/ 或提交本人/吾等之相關賬戶資料，以符合FATCA、《共同匯報標準條例》和其他相關法規、守則和規則的規定。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、經理或任何信用機構進行諮詢。

 Client's Signature 客戶簽署

Date  
日期



完 ~ End ~

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Initial	Handled By	Docs. checked & No. Issued	Input	Data Checked	Input Deposit Bank	Input Withdrawal Bank	FATCA Status	Vulnerable Customer	Client Risk Assessment	Approved
					<input type="checkbox"/> No <input type="checkbox"/> Yes	<input type="checkbox"/> No <input type="checkbox"/> Yes	<input type="checkbox"/> US Person <input type="checkbox"/> Non US (with US Indicia) <input type="checkbox"/> Non US (without US Indicia)	<input type="checkbox"/> No <input type="checkbox"/> Yes	<input type="checkbox"/> Country <input type="checkbox"/> Channel <input type="checkbox"/> Occupation <input type="checkbox"/> Others <input type="checkbox"/> PEP	