# FIRST SECURITIES (HK) LIMITED

## 第一證券(香港)有限公司

(A corporation licensed by the Securities and Futures Commission of Hong Kong to carry on Type 1 (dealing in securities) and Type 9 (asset management) regulated activities under the Securities and Futures Ordinance (Cap. 571 of the Laws of Hong Kong)
(一家根據《證券及期貨條例》(香港法律第571章)獲發牌進行第一類(證券交易)及第九類(提供資產

管理)受規管活動的業務之持牌法團)

Account No. 賬戶號碼:

Central Entity (CE) Number 中央編號: AAA347

Business Address 營業地址: Rooms 1708-1710, 17/F, China Insurance Group Building, 141 Des Voeux Road Central, Hong Kong 香港中環德輔道中141號中保集團大廈17樓1708-1710室

#### SUPPLEMENTAL ACCOUNT OPENING FORM (FOR JOINT CLIENT)

補充開戶表格 (聯名客戶適用)

### Part A 甲部: JOINT CLIENT'S INFORMATION 聯名客戶資料

Name (English / Chinese)			
姓名(英文/中文)			
ID/Passport No		Place of Issue	ļ
身分證/護照號碼		簽發地	
Nationality / Citizenship		Date of Birth	
國籍/公民		出生日期	ļ
Residential Address			
住宅地址			ļ
Correspondence Address (if not the same as above)			
通訊地址 (如與上述地址不同)			ļ
Residential Phone No.		Fax No.	
住宅電話		傳真號碼	ļ
Mobile Phone No.		E-Mail Address	
流動電話號碼		電郵地址	
Name of Employer	Years of Service		Position
僱主名稱	服務年資		職位
Office Address			
辦公地址			
0.00	I.v. on on		
Office Phone No.	Nature of Business of Employer		Fax No.
辦公電話	僱主業務性質		傳真號碼

Part B	乙部: FINANCIAL PROFILE 財務概況		
•	Annual Income (Please tick one box) 每年總收入(請勾選一項)	•	Residence (Please tick one box) 住屋(請勾選一項)
	Under 少於 US \$20,000		Self-owned (subject to mortgage) 自置物業(有按揭)
	US \$20,000 ~ US \$49,999		Self-owned (no mortgage) 自置物業(無按揭)
	US \$50,000 ~ US \$99,999		Rent 租用物業
	US \$100,000 or above 或以上		
•	Source of income (can choose one or more) 收入來源 (可勾選多項)	•	Origins of Fund (Please tick at least one box)資金來源地 (請勾選至少一項)
	Salary / Commission 薪金 / 佣金		Hong Kong 香港
	Savings 儲蓄		Taiwan 台灣
	Dividend / Interest 股息/利息		China 中國
	Business Profit 業務溢利		Singapore 新加坡
	Investment Return 投資獲利		USA 美國
	Rent 租金		Others 其他:
•	Liquid Assets (Please tick one box) 流動資產 (US\$) (請勾選一項)	•	Total net worth 資產淨值:_
	<10,000		US \$
	10,001 – 100,000		
	100,001 – 500,000		
	500,001 – 1,000,000		
	>1,000,001		

## Part C 丙部: INVESTMENT EXPERIENCE 投資經驗

Please choose the years of investment experience of each investment product 請勾選每一投資產品的投資年期

(Please provide relevant documentary proof 請提供有關證明文件)

Type of Investment Product 投資產品類型
Equities 證券
Warrants 窩輪*/Stock Options 股票期權*/CBBC 牛熊證*
Futures & Options 期貨及期權*
Exchanged Traded Fund (ETF) 交易所買賣基金
Hedge Funds 對沖基金*
Structured Products 結構性產品*
Fixed Income Products (e.g. bonds, etc.) 固定收益產品 (如:債券等)
Others 其他:

Years of Investment Experience 投資年期					
Nil 無	<3 years 三年以下	3 to 5 years 三至五年	5 to 10 years 五至十年	>10 years 十年以上	
_	0	0	0	0	
0		0	0	0	
0			0	_	
			0		
			0		
			0		
0	0	0	0	0	
	0	0	0	0	

<sup>\*</sup>The above type of investment product belongs to high risk and/or extremely high risk categories. 上述投資產品類型屬於「高風險」及/或「極高風險」類別。

<sup>\*</sup> Please complete Supplemental Account Opening Form. 請填具補充開戶表格。

## Part D 丁部: ASSESSMENT OF CLIENT'S KNOWLEDGE OF DERIVATIVE PRODUCTS

客戶對衍生性產品的認識之評估 (Please provide relevant documentary proof 請提供有關證明文件)
The following questionaire is designed to ensure the provision of our services to you in respect of derivative products is in compliance with our obligations

	derparagraph 5.1A c 下問券為確保本公		之服務已遵照《操守準則》項下第	§ 5.1A 段的責任。	
1	Have you u	ndergone any training or atten	ided courses (whether online or class	sroom courses) on o	derivative products offered by any
		stitution or financial institutio			
	請問你是否	? 曾接受田仕何學術或金融榜	機構舉辦有關衍生性產品的任何培	訓蚁修讀相關課程	(个論是網上以教至課程)!
		□ No 否	□ Yes 是 (please in	sert details below	請提供下列資料)
		Name of the academic instit 學術或金融機構的名稱:	ution or financial institution:	Name of the a 課程的名稱:	
2.		e any current/previous working 引過去的工作經驗是否與衍生	g experiences related to derivative pr 主性產品有關?	roducts?	
		□ No 否	□ Yes 是 (please in	sert details below	請提供下列資料)
		Name of employer 僱主名称	<b></b>	Position 職種	身:
		Year(s) of working experien	ices which relate(s) to derivative pro-	ducts 就衍生性產品	品有關工作經驗之年期:
		year(s)	Ę.		
3.	We will refer to I	Part E to assess your prior trad	ling experience in derivative product	ts. 本公司將參照戊	就部,以評估你投資衍生性產品的經驗。
		<b>J</b>			
For	Internal Use On	lv 僅供內部使用			
In					
	vestor Charact	terization 投資者分類			
		terization 投資者分類		Characterization F	Result 分類結果
	vestor Charact	terization 投資者分類 投資者分類	Investor		Result 分類結果 . 你被評估為對衍生性產品 <b>沒有</b> 認識。
	westor Charact	terization 投資者分類 投資者分類 You are cha	Investor	ledge of derivatives	
C	Nestor Charact Characterization 投	You are charged and the series of the serie	Investor aracterized as a client without know aracterized as a client with knowleds	ledge of derivatives	. 你被評估為對衍生性產品 <b>沒有</b> 認識。 你被評估為對衍生性產品 <b>有</b> 認識。
C	Nestor Charact Characterization 技  Characterization 技  Characterization 技  Characterization 技  Characterization 技	You are characteristics ACKNOWLEI gned, hereby confirm that the	Investor of a racterized as a client without known aracterized as a client with knowledge DGEMENT AND DECLARAT information above given is true, con	ledge of derivatives ge of derivatives. IONS 客戶確認 rect and complete a	. 你被評估為對衍生性產品 <b>沒有</b> 認識。 你被評估為對衍生性產品 <b>有</b> 認識。 <b>[及聲明</b> and authorize you to verify the same from any source it
Part 1	Nestor Characterization 技 Characterization 技 Characterization 技 E 戊部: THE Claracterization 技 I/We, the undersign may consider fit. I 本人/吾等·下列	You are characteristics ACKNOWLEI gned, hereby confirm that the /We also undertake to notify y 簽署人·確認上述資料乃屬	Investor aracterized as a client without known aracterized as a client with knowleds aracterized as a client without knowleds aracterized as a client with knowleds are cli	ledge of derivatives.  ge of derivatives.  HONS 客戶確認 rect and complete and above information	. 你被評估為對衍生性產品 <b>沒有</b> 認識。 你被評估為對衍生性產品 <b>有</b> 認識。 <b>[及聲明</b> and authorize you to verify the same from any source it
Part 1	E 戊部:THE CI I/We, the undersignay consider fit. I 本人/吾等·下列 立即通知貴公司	You are characteristics ACKNOWLEI gned, hereby confirm that the /We also undertake to notify y 簽署人·確認上述資料乃屬。	Investor aracterized as a client without know aracterized as a client with knowleds are client	ledge of derivatives.  ge of derivatives.  HONS 客戶確認 rect and complete a ne above informatio 司可向任何方面證	. 你被評估為對衍生性產品 <b>沒有</b> 認識。 你被評估為對衍生性產品 <b>有</b> 認識。 <b>[及聲明</b> and authorize you to verify the same from any source it in.  實。本人/吾等亦承諾如上述資料有任何改變,會
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Part 1	E 戊部: THE CI I/We, the undersig may consider fit. I 本人/吾等·下列立即通知貴公司 I/We further confiover the counter derivative/ structu	You are characteristics ACKNOWLEI gned, hereby confirm that the /We also undertake to notify y 簽署人·確認上述資料乃屬。 rm and acknowledge that I/we derivative/ structured producted products or over the course.	Investor aracterized as a client without know aracterized as a client with knowleds are client with knowl	ge of derivatives.  HONS 客戶確認 rect and complete a ne above informatio 司可向任何方面證 rect of the risks associand the risks there and shall be perso	. 你被評估為對衍生性產品 <b>沒有</b> 認識。 你被評估為對衍生性產品 <b>有</b> 認識。 <b>[及聲明</b> and authorize you to verify the same from any source it in. 實。本人/吾等亦承諾如上述資料有任何改變,會 ciated with the listed derivative/structured products and eof. I/We determine to make investment in the listed anally liable to all loss and damages arising out of the
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Please attach this Supplemental Account Opening Form with your Account Opening Form (Individual / Joint Account) (if applicable) 此補充開戶表格須連同開戶表格(個人/聯名賬戶)一併遞交 (如適用者)

Joint Client's Signature 聯名客戶簽

Date 日期:

(DD/MM/YY) (日/月/年)