

For Office Use ONLY

Account No.

* Delete as appropriate 刪去不適用

TARGET CAPITAL MANAGEMENT LIMITED
泰達資產管理有限公司
CUSTOMER INFORMATION STATEMENT (INDIVIDUAL)
客戶資料表格 (個人帳戶)

Type of Account 帳戶類別 (please select one 只選一項)

Cash Account 現金帳戶

Margin Account 保證金帳戶

Individual Account Holder 個人戶口持有人

1. Personal Particulars 個人資料

Name

姓名

(English 英文)

(Chinese 中文)

ID Card/Passport*No.1

身份證/護照*號碼¹

Passport issue country

護照簽發地

Nationality

國籍

Date of Birth (dd/mm/yy)

出生日期 (日/月/年)

Sex

性別

M 男

F 女

Marital Status

婚姻狀況

Single 未婚

Others 其他

Married 已婚

Residential Address²

住宅地址²

Correspondence Address

通訊地址

Same as residential address 與住址相同

Other address, please specify 其他地址，請註明：

Home Phone No.(if any)

住宅電話號碼(如有)

Mobile Phone No.

手提電話號碼

Email Address³

電郵地址³

(compulsory for sending statements 必須提供以作發出結單之用)

1. Please provide copy of HKID card/Passport. 請提供香港身份證/護照副本。

2. Please provide copy of address proof issued within the last 3 months (no postal office box address will be accepted). 請提供最近三個月之住址證明副本(不接受郵箱地址)。

3. All daily and/or monthly statements of account will be sent electronically via email only. If you request for copies of statements in paper format, a service fee of HK\$15 will become payable on you for the months in which hard copy statements are generated. 所有日結單及月結單將只會以電子形式發送至客戶的電子郵箱。若閣下仍想繼續收取郵寄結單，我們會就發出結單之月份向閣下收取港幣15元正的服務費。

Bank Account Information 銀行資料 * Do not accept third party bank account 不接受第三方銀行帳戶

All fund payable will be credited to the following bank account only.

請將款項存入以下銀行帳戶。

| | | | |
|------------------------------------|------------------|--------------------|-----------------------|
| Bank Name 銀行名稱(HKD) : | | | |
| Account Number (HKD) : 帳戶號碼(港元) | | | |
| | (Bank Code 銀行編號) | (Branch Code 分行編號) | (Account Number 帳戶號碼) |

| | | | |
|-------------------------------------|------------------|--------------------|-----------------------|
| Bank Name 銀行名稱(RMB) : | | | |
| Account Number (RMB) : 帳戶號碼(人民幣) | | | |
| | (Bank Code 銀行編號) | (Branch Code 分行編號) | (Account Number 帳戶號碼) |

| | | | |
|------------------------------------|------------------|--------------------|-----------------------|
| Bank Name 銀行名稱(USD) : | | | |
| Account Number (USD) : 帳戶號碼(美元) | | | |
| | (Bank Code 銀行編號) | (Branch Code 分行編號) | (Account Number 帳戶號碼) |

2. Declaration by Client 客戶聲明

Are you a U.S. citizen or a U.S. tax resident? Yes 是 No 否
閣下是否美國公民或稅務目的而言的居民？

Do you have any relationship with any employee or director of our company?
閣下與本公司職員或董事是否有親戚關係？ Yes 是 No 否

If yes, 如是, Name 名稱: _____ Relationship 關係: _____

Is your spouse currently maintaining Account with the companies of Target Capital Management Limited?
你的配偶是否在泰達資產管理有限公司開有帳戶 Yes 是 No 否

If yes, 如是, please provide account no. 請提供客戶號碼: _____

Are you the ultimate beneficial owner of the account?
閣下是否帳戶的最終實益擁有人？

- Yes 是
- No, full name of the actual beneficiary(ies) of the account is/are:
否, 帳戶實際受益人全名為: _____

Are you an employee(s) or a consultant(s) of Licensed Corporation(s) or Registered Institution(s) with the Securities and Futures Commission ("SFC") in Hong Kong?
閣下是否香港證券及期貨監察委員會("證監會")持牌法團或註冊機構之職員或顧問？

- Yes 是
- No 否

If yes, please provide **Consent Letter** and complete your details as follows.
如是, 請提供授權信及填寫以下資料。

| Name of Licensed Corporation 持牌機構名稱 | Company CE No. 公司註冊編號 | Individual CE No. 個人註冊編號 |
|--|--------------------------|-----------------------------|
| | | |

3. Financial Background 財務狀況

Employment Status 就業狀況 Full Time Employed 全職 Retired 退休人士 Student 學生
 Part Time Employed 兼職 Self-employed 自僱 Housewife 主婦

Others 其他 (please specify 請註明: _____)

Name of Employer/Business
僱主/業務名稱

Work/Business Address
工作/商業地址

Occupation/Type of Business 職業/業務性質 Finance 金融 Accounting 會計 Logistics 物流
 Trading 貿易 Real Estate 地產 IT 資訊科技
 Education 教育 Service 服務 F&B 飲食

Others 其他 (please specify 請註明: _____)

Position
職位

Year(s) Employed
任職年期

Estimated Annual Income 估計年薪 Less Than 少於HK\$200,000 HK\$1,000,001 - HK\$5,000,000
 HK\$200,001 - HK\$500,000 HK\$5,000,001 - HK\$10,000,000
 HK\$500,001 - HK\$1,000,000 Over 多於HK\$10,000,000

Residence 住屋 Self-owned 自置物業 Living with Relative 與親戚同住
 Mortgaged 按揭 Company Quarters 公司宿舍
 Rented 租賃 Others 其他(_____)

Approximate Net Asset Value 淨資產值 Less Than 少於HK\$500,000 HK\$10,000,001 - HK\$50,000,000
 HK\$500,001 - HK\$3,000,000 Over 多於HK\$50,000,000
 HK\$3,000,001 - HK\$10,000,000

Source of Wealth 財富來源 Investment Gain 投資獲利 Business Profit 業務溢利
 Salary/Bonus 薪金/花紅 Saving 儲蓄
 Others 其他 (please specify 請註明: _____)

Source of Fund 資金來源 Investment Gain 投資獲利 Business Profit 業務溢利
 Salary/Bonus 薪金/花紅 Saving 儲蓄
 Others 其他 (please specify 請註明: _____)

4. Related Margin Account (applicable to Margin Account only) 相關保證金帳戶 (只適用於保證金帳戶)

Are you either alone or with the spouse in control of 35% or more of voting rights of any company(ies) of which maintains Margin Account with Target Capital Management Limited?

客人是否單獨或與其配偶共同控制 35%或以上在泰達資產管理有限公司所保持之任何公司保證金帳戶的表決權？

Yes, please provide account No. _____
是，請提供相關帳戶號碼 _____

No 否

5. Investment Objectives and Experience 投資目標及經驗

Can select more than one items 可選多項

Investment Objectives

投資目標

Short Term 短線 Medium Term 中線 Long Term 長線

Capital Appreciation 資本增值

Dividend Yield 股息回報

Hedging 對沖

Speculation 投機

Others 其他 (please specify 請註明: _____)

Investment Experiences 投資經驗

| <input checked="" type="checkbox"/> | Experienced Products 曾投資的產品 |
|-------------------------------------|---|
| <input type="checkbox"/> | Stock, Shares, Debentures or Other Securities 股票、股份、債權證及其他證券 |
| <input type="checkbox"/> | Unit Trusts & Mutual Funds 單位信託及互惠基金 |
| <input type="checkbox"/> | Derivatives / Structured Products 衍生工具／結構性產品 |
| <input type="checkbox"/> | Others (please specify: _____) 其他 (請註明: _____) |
| <input type="checkbox"/> | Nil 沒有 |

Investment Amount

投資金額

<HK\$500,000

HK\$1,000,001 - HK\$5,000,000

HK\$500,001 - HK\$1,000,000

>HK\$5,000,000

Nil 沒有

Year(s) Of Experience

投資年期

Less than a year 少於一年

6-10 years

1-5 years

More than 10 years 多於 10 年

Nil 沒有

**6. Knowledge of Derivatives / Structured Products 對衍生工具／結構性產品的認識
(compulsory in accordance with regulatory requirements 按有關監管條例此欄必須填寫)**

I wish to purchase derivative products which traded on an exchange?

閣下／貴公司有意認購交易所買賣的衍生產品嗎？

Yes 有

No 沒有 If No, please go to Part 7; 如有請前往部分 7

My knowledge of derivative products are as followed:

I underwent training or attended courses on derivative products that provide general knowledge of the nature and risks of derivatives (e.g. courses offered by academic or financial institutions.

本人已接受有關介紹一般衍生產品之性質及風險的培訓或課程(例如學術機構或金融機構所提供之課程)

I have relevant trading experience i.e I have executed five or more transactions in derivative products within the past three years

本人有關之交易經驗，即本人於過去 3 年曾執行過 5 次或以上有關衍生產品之交易

I have work experience related to derivative products

本人擁有與衍生產品有關之工作經驗

I do not have any knowledge of derivative products

*本人並未有衍生產品之認識

* When you do not have any knowledge of derivative products, you could accept Target Capital Management Limited's explanation on risks associated with derivative products and complete the questionnaire if you wish to purchase derivative products which are traded on an exchange. 即使閣下並未有衍生產品之認識，如閣下有意認購交易所買賣的衍生產品，亦可接受泰達資產管理有限公司就相關衍生產品所作之風險解釋及完成問卷調查。

7. Trading Authorization 交易授權

Will the account be traded by other person(s) on your behalf?⁴

閣下的帳戶會否授權第三者交易？

Yes 會

Name of Authorized Representative

被授權人姓名

Relationship with Authorized Representative

與被授權人關係

No 否

4. If Yes, please furnish signed Trading Authorization and provide HKID card/passport copy of authorized representative. 若會，請提供交易授權書及被授權人之港身份證／護照副本。

* When you do not have any knowledge of derivative products, you could accept Target Capital Management Limited's explanation on risks associated with derivative products and complete the questionnaire if you wish to purchase derivative products which are traded on an exchange. 即使閣下並未有衍生產品之認識，如閣下有意認購交易所買賣的衍生產品，亦可接受泰達資產管理有限公司就相關衍生產品所作之風險解釋及完成問卷調查。

8.Certification of Client Signature and Identity Proof (if applicable) 見證客戶簽署及身份證明文件驗證(如適用)

If this Account Opening Form is not executed in front of Target Capital Management Limited's SFC licensed employee or is not submitted with an appropriate cheque+, a specified person, including any SFC licensed or registered person, a Justice of Peace, a Branch Manager of a bank, Certified Public Accountant or Notary Public, should be required to sign below. The specified person should provide us with self-certified ID copy and copy of the professional qualification documents.

若客戶/聯名客戶並非在泰達資產管理有限公司之指定僱員面前簽立本開戶表格或本開戶表格並非連同恰當的支票+一併遞交，則以下部分應由指定人士，包括其他證監會持牌人或註冊人、太平紳士或專業人士例如銀行分行經理、執業會計師、律師或公證人，簽署驗證。而該指定人士需提供其已簽署之身份證明文件副本及專業資格證明文件之副本。

The undersigned person hereby certifies the signing of this Account Opening Form (together with the Client Agreement) by the above Client(s) and sighting of related identity documents of such Client(s)

下述簽署人士謹此驗證上述客戶/聯名客戶簽立此文件(連同客戶協議書)及其有關的身份證明文件：

Date 日期： _____年 YY _____月 MM _____日 DD

| | |
|--------------------------------|--|
| Witness Name 見證人姓名: | |
| Profession /Title 所屬專業及職銜： | |
| Contact No 聯絡電話： | |
| Address 聯絡地址： | |
| Signed and Certified by 簽署及驗證： | |

+客戶在香港的持牌銀行開立的帳戶並由客戶所簽發(該簽名須與客戶協議書上的簽名相符)並載有客戶在其身份證明文件上所顯示的姓名的劃線支票，而該支票抬頭人須為“泰達資產管理有限公司”及其數額不得少於 10,000 港元。客戶被批核的新帳戶必須待支票兌現後才可使用。A crossed cheque bearing your name shown in your identity document and drawn on your account with a licensed bank in Hong Kong with your same signature(s) signed on client agreement in favour of "Target Capital Management Limited" for not less than HKD10,000. Your approved new account will not be activated until the cheque is cleared.

9. Use of Personal Data for Direct Marketing 使用個人資料作直接促銷

I am / We are hereby informed that Target Capital Management Limited and/or its associated companies ("the Companies") intend to use my / our personal data for the direct marketing of: (a) monetary related services and products; or (b) investment related services and products. Such personal data includes my / our name, contact details, financial background and statistical data which are provided to the Companies under this Customer Information Statement or obtained by the Companies from time to time. I / We understand that I / we may, at any time, require the Companies to cease to use my personal data for direct marketing through such channel prescribed by the Companies.

本人 / 吾等現獲告知泰達資產管理有限公司及/或其關聯公司("貴公司")擬使用本人 / 吾等於貴公司之個人資料以直接促銷：(a) 金融相關的服務和產品；或 (b) 投資相關的服務和產品。該等個人資料 包括本人 / 吾等在本客戶資料表格向貴公司提供的及貴公司不時獲得的姓名、聯繫方式、財務狀況和統計 數據等個人資料。本人 / 吾等明白可以隨時通過貴公司指定的渠道要求貴公司停止在直接促銷中使用本人 / 吾等的個人資料。

I / We agree to the aforesaid use of my / our personal data by the Companies.

本人 / 吾等同意貴公司如上述情況使用本人 / 吾等之個人資料。

I / We object to the use of my / our personal data by the Companies for direct marketing.

本人 / 吾等反對貴公司使用本人 / 吾等的個人資料作直接促銷用途。

10. Declaration 聲明

I / We hereby confirm that the information provided in this Customer Information Statement is true, complete and accurate in all respects. I / We hereby undertake and covenant with you to notify you in writing forthwith of any material change to that information. You are authorized to conduct credit enquiries to verify the information provided for the purpose of ascertain the financial situation and investment objectives of me.

本人 / 吾等確認本「客戶資料表格」中所載資料均屬真實，完整及正確。本人 / 吾等承諾及保證倘若該等資料有任何重要變更，本人 / 吾等將會立即以書面通知貴公司。本人 / 吾等特此授權貴公司對本人之信用進行查詢，以核實本人之財政狀況及投資目標。



Signature of Individual
Account Holder
個人戶口持有人簽署

Name
姓名

Date
日期