

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 (CORPORATE)**  
客戶資料表格 (公司帳戶)

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

**1. Corporate Particulars 公司資料**

Name

(English 英文)

名稱

(Chinese 中文)

Trading Name (if different from above)

經營名稱(如異於上述)

Place of Incorporation

成立地點

Date of Incorporation

成立日期

Certificate of Incorporation No.

成立證書編號

Registration Number

註冊編號

Registered Office<sup>1</sup>

註冊辦事處<sup>1</sup>

Correspondence Address

通訊地址

Same as Registered Office 與註冊辦事處相同

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

Phone No.

電話號碼

Fax No.

傳真號碼

Email Address<sup>2</sup>

電郵地址<sup>2</sup>

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

1. 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)
2. All daily and/or monthly statements of account will be sent via email only to you. If you request for copies of statements in paper format, a service fee of HK\$15 will become payable by 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。若貴公司仍想繼續收取郵寄結單，我們會就發出結單之月份向貴公司收取港幣15元正的服務費。

Contact Person  
聯絡人

Title  
職位

Nature of Business  
業務性質簡述

Nature of Entity  
業務性質簡述

- Listed Company 上市公司       Unlisted Limited Company 非上市有限公司  
 Sole Proprietorship 獨資經營       Partnership 合夥經營  
 Others 其他 (please specify 請註明: \_\_\_\_\_)

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?  
閣下是否美國公民或稅務目的而言的居民？

Yes 是       No 否

Is any director, shareholder or authorized person of the client a client of Target Capital Management Limited?  
客戶之任何董事、股東或授權人士是否泰達資產管理有限公司的客戶？

- Yes 是  
 No 否

如是 If yes, 帳戶號碼 Account No. : \_\_\_\_\_ 帳戶名稱 Account Name : \_\_\_\_\_

Does any director, shareholder or authorized person of the client have any relationship with our company's employee?  
客戶之任何董事、股東或授權人士是否與本公司職員有親戚關係？

- Yes 是  
 No 否

If yes, 如是, Name 職員名稱: \_\_\_\_\_ Relationship 關係: \_\_\_\_\_

Is client a licensed corporation registered with the Securities and Futures Commission or registered institution under the Banking Ordinance?  
客戶是否為證券及期貨事務監察委員會定義之持牌法團或註冊機構？

- Yes 是  
 No 否

If yes, 如是, CE No. is 中央編號為 \_\_\_\_\_

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: \_\_\_\_\_

Is any director, shareholder or authorized person of the client an employee of any participant of the Stock Exchange of Hong Kong, a licensed corporation under the Securities and Futures Ordinance, or a registered institution under the Banking Ordinance (whether he/she is currently a SFC licensed/HKMA registered person or not)?

客戶之任何董事、股東或授權人士是否為香港聯合交易所參與者或任何根據證券及期貨條例註冊持牌法團或銀行業條例之註冊機構之僱員<不管閣下現時是否為證監會持牌代表/金管局註冊人士>?

- 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。

參與者/持牌法團/註冊機構名稱: Participant/Licensed Corporation/Registered Institution Name:	
職位 Position:	
中央編號 CE No.: (僱主 Employer) / (僱員 Employee) (如適用 If applicable)	

### 3. Financial Background 財務狀況

Paid-up Capital

HK\$

繳足股本

Net Asset Value

淨資產值

HK\$

Net Profit (After Tax) in Preceding 3 Years 以往3年除稅後溢利

Year 年份			
HKD 港幣			

Source of Fund

資金來源

- Investment Gain 投資獲利
- Dividend / Interest Income 股息 / 利息收入
- Others 其他 (please specify 請註明: \_\_\_\_\_)
- Business Profit 業務溢利
- Rental Income 租金收入

Source of Wealth

財富來源

- Investment Gain 投資獲利
- Dividend / Interest Income 股息 / 利息收入
- Others 其他 (please specify 請註明: \_\_\_\_\_)
- Business Profit 業務溢利
- Rental Income 租金收入

### 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 any parties provided in the section 2 either alone or with the spouse in control of 35% or more of (i) your voting rights and also (ii) the voting rights of any company(ies) of which maintains Margin Account with Target Capital Management Limited?

在上文 2 部分提供的任何人是否單獨或與其配偶共同控制 35%或以上(i)貴公司的表決權及同時(ii)在泰達資產管理有限公司所保持之任何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. Corporate Structure 公司架構**

**Particular of Director(s) of the Company 董事詳細資料**

Name & HKID/Passport * No. 姓名及香港身份證/護照 * 號碼	Residential Address 住宅地址	If you are a U.S. citizen or a U.S. tax resident? 你是否美國公民或稅務目的 的而言的居民?
( )		<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
( )		<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
( )		<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
( )		<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否

Please provide us with a group chart and Particular of Shareholder(s) of the Company, if any one of the shareholder is a corporate entity 如任一股東是公司身份,請提供股東詳細資料及集團組織圖

Name 姓名	Address 地址

The parties who hold more than 25% of the ultimate beneficial interest of the Company (not applicable to public listed companies) 有百分之二十五以上之公司最終權益擁有人(上市公司不適用)

Name & HKID/Passport * No. 姓名及香港身份證 / 護照 * 號碼	% Held % 持股量	Residential Address 住宅地址 if different from above (如異於上述)	If you are a U.S. citizen or a U.S. tax resident? 你是否美國 公民或稅務目的而言 的居民?
( )			<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
( )			<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
( )			<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否

**6. 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

Estimated Investment Amount

估計投資金額

- <HK\$500,000     HK\$1,000,001 - HK\$5,000,000  
 HK\$500,001 - HK\$1,000,000     >HK\$5,000,000

Year(s) Of Experience

投資年期

- Less than a year 少於一年     6-10 年 years  
 1-5 年 years     More than 10 years 多於 10 年  
 Nil 沒有

**7. Trading Authorization 交易授權**

- Board resolution and list of person(s) authorized to give written and/or oral instructions in relation to the trading of the Account is enclosed.

附件為會議記錄及授權以書面及／或口頭指示本帳戶進行交易事宜的名單。

Authorised Person(s) Information 授權操作人資料			
	1.	2.	3.
Authorised Person Signature 授權人簽署			
Name 姓名			
HKID / Passport No. 身份證/護照號碼			
Contact No. 聯絡電話			
Singing Instruction 簽署指示: <input type="checkbox"/> Anyone can sign singly 單簽 <input type="checkbox"/> Any two must sign jointly 任何兩人同簽			
<input type="checkbox"/> Others 其他:			

**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(該簽名須與此開戶表上的客戶簽名相符)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) as shown on this Form 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 Authorized Person(s)  
& Company Chop  
公司授權人簽署及公司蓋章

\_\_\_\_\_  
Name of Authorized Person(s)  
授權人名稱

\_\_\_\_\_  
Date  
日期