

Account No. 賬戶號碼 :

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**Magusta Securities Ltd**  
**邁高達證券有限公司**

**Securities Cash Trading**  
**證券現金交易**

**Joint Client**  
**聯名客戶**

**Account Opening Form**  
**客戶開戶表格**

Unit B, 28/F., Entertainment Building, 30 Queen's Road Central, Hong Kong  
香港中環皇后大道中三十號娛樂行廿八樓B室

Tel電話: 2845 4113 Fax傳真: 2587 9878  
Web-site網址: [www.magusta.com.hk](http://www.magusta.com.hk)

**Client Information Form – Joint Account**  
**客戶資料表格 - 聯名賬戶**

<b>Personal Information 個人資料</b>			
<b>Primary Client 聯名賬戶主要持有人</b>		<b>Secondary Client 聯名賬戶第二持有人</b>	
Name of Account Holder (English) Mr. / Mrs. / Miss 賬戶持有人英文姓名                      先生 / 太太 / 小姐		Name of Account Holder (English) Mr. / Mrs. / Miss 賬戶持有人英文姓名                      先生 / 太太 / 小姐	
Chinese Name 中文姓名	Date of Birth 出生日期	Chinese Name 中文姓名	Date of Birth 出生日期
HKID No. (or Passport No. and Country of Issue) 香港身份證號碼 (或護照號碼及簽發國家)		HKID No. (or Passport No. and Country of Issue) 香港身份證號碼 (或護照號碼及簽發國家)	
Nationality 國籍	Marital Status 婚姻狀況	Nationality 國籍	Marital Status 婚姻狀況
Education Level 學歷 <input type="checkbox"/> Primary 小學 <input type="checkbox"/> Post Secondary 大專 <input type="checkbox"/> Secondary 中學 <input type="checkbox"/> University or above 大專或以上		Education Level 學歷 <input type="checkbox"/> Primary 小學 <input type="checkbox"/> Post Secondary 大專 <input type="checkbox"/> Secondary 中學 <input type="checkbox"/> University or above 大專或以上	
Name of Employer (if self-employed, please specify the name of Company) 僱主名稱 (自僱人士請填寫公司名稱)		Name of Employer (if self-employed, please specify the name of Company) 僱主名稱 (自僱人士請填寫公司名稱)	
Occupation (or Type of Business) 職業 (或業務類別)	Year(s) of Employed 任職年期	Occupation (or Type of Business) 職業 (或業務類別)	Year(s) of Employed 任職年期
Correspondence Address 通訊地址		Correspondence Address 通訊地址	
Flat, Floor, Building 單位, 樓層, 大廈		Flat, Floor, Building 單位, 樓層, 大廈	
Estate, Street 屋苑, 街道	District 地區	Estate, Street 屋苑, 街道	District 地區
City 城市	Country 國家	City 城市	Country 國家
Residential Address 住所地址		Residential Address 住所地址	
Flat, Floor, Building 單位, 樓層, 大廈		Flat, Floor, Building 單位, 樓層, 大廈	
Estate, Street 屋苑, 街道	District 地區	Estate, Street 屋苑, 街道	District 地區
City 城市	Country 國家	City 城市	Country 國家
Residential Phone No. 住所電話號碼	Business Phone No. 公司電話號碼	Residential Phone No. 住所電話號碼	Business Phone No. 住所電話號碼
Mobile Phone No. 手提電話號碼	Fax No. 傳真號碼	Mobile Phone No. 手提電話號碼	Fax No. 傳真號碼
Email Address 電郵地址		Email Address 電郵地址	
Select your language 選擇語言 <input type="checkbox"/> 繁體 <input type="checkbox"/> 簡體 <input type="checkbox"/> English			
Communication Method (for issuance of Daily / Monthly Statements) 通訊方式 (用作發送日 / 月結單) <input type="checkbox"/> Post 郵寄 (Post to Correspondence Address with fee of \$50 per statement+Postage, 郵寄至通訊地址, 每份結單為港幣50元正, 另加郵費) <input type="checkbox"/> Email 電郵			
<b>Bank Details 銀行詳情</b>			

Name of Bank Account Holder 銀行賬戶持有人姓名	Name of Bank 銀行名稱
Account No. 賬戶號碼	Account Type 賬戶種類 <input type="checkbox"/> Savings Account 儲蓄賬戶 <input type="checkbox"/> Current Account 往來賬戶 <input type="checkbox"/> Multiple Currency Account 綜合貨幣賬戶

### Disclosure of Identity 身份披露聲明

#### Primary Client 聯名賬戶主要持有人

- 1) Are you a Citizen of the UNITED STATES? 閣下是否美國公民？  Yes 是  No 否
- 2) Are you a director, an employee or a representative of an intermediary licensed / registered under the Securities and Futures Ordinance?  
閣下是否《證券及期貨條例》下持牌 / 登記中介人的董事、僱員或代表？  
 No 否  
 Yes, please specify the name of the intermediary 是, 請列明中介人的名稱 \_\_\_\_\_  
(Please attach a consent letter for account opening from the intermediary. 請附上由中介人發出的開戶同意書。)
- 3) Are you a relative of any director, employee or representative of Magusta Securities Limited?  
閣下是否邁高達證券有限公司任何董事、僱員或代表的親屬？  
 No 否  
 Yes, please specify the name of the director, employee or representative and relationship with him / her.  
是, 請列明該董事、僱員或代表的名稱及雙方關係 \_\_\_\_\_
- 4) Are you a senior management officer or director of any (listed) company whose shares are traded on any exchange or market?  
閣下是否任何其股份在交易所或市場買賣的 (上市) 公司之高級管理或董事？  
 No, 否  
 Yes, please specify the company name and stock code.  
是, 請列明該公司名稱及代號 \_\_\_\_\_
- 5) Are you, your spouse, partner, child, parent, spouse or partner of your child, or your close associate entrusted or has been entrusted with a prominent public function, which includes a head of state, head of government, judicial or military official, senior executive of a state-owned corporation and an important political party official?  
閣下、閣下之配偶、伴侶、子女、父母、閣下的子女的配偶或伴侶或與閣下關係密切的人, 是否擔任或曾擔任重要公職, 包括國家元首、政府首長、司法或軍事官、國有企業高級行政人員及重要政黨幹事？  
 No, 否  
 Yes, please specify 是, 請列明 \_\_\_\_\_

#### Secondary Client 聯名賬戶第二持有人

Relationship with Primary Client 與聯名賬戶主要持有人的關係 \_\_\_\_\_

- 1) Are you a Citizen of the UNITED STATES? 閣下是否美國公民？  Yes 是  No 否
- 2) Are you a director, an employee or a representative of an intermediary licensed / registered under the Securities and Futures Ordinance?  
閣下是否《證券及期貨條例》下持牌 / 登記中介人的董事、僱員或代表？

No 否

Yes, please specify the name of the intermediary 是, 請列明中介人的名稱 \_\_\_\_\_  
(Please attach a consent letter for account opening from the intermediary. 請附上由中介人發出的開戶同意書。)

3) Are you a relative of any director, employee or representative of Magusta Securities Limited?

閣下是否邁高達證券有限公司任何董事、僱員或代表的親屬?

No 否

Yes, please specify the name of the director, employee or representative and relationship with him / her.

是, 請列明該董事、僱員或代表的名稱及雙方關係 \_\_\_\_\_

4) Are you a senior management officer or director of any (listed) company whose shares are traded on any exchange or market?

閣下是否任何其股份在交易所或市場買賣的(上市)公司之高級管理或董事?

No, 否

Yes, please specify the company name and stock code.

是, 請列明該公司名稱及代號 \_\_\_\_\_

5) Are you, your spouse, partner, child, parent, spouse or partner of your child, or your close associate entrusted or has been entrusted with a prominent public function, which includes a head of state, head of government, judicial or military official, senior executive of a state-owned corporation and an important political party official?

閣下、閣下之配偶、伴侶、子女、父母、閣下的子女的配偶或伴侶或與閣下關係密切的人, 是否擔任或曾擔任重要公職, 包括國家元首、政府首長、司法或軍事官、國有企業高級行政人員及重要政黨幹事?

No, 否

Yes, please specify 是, 請列明 \_\_\_\_\_

#### Identity of Person(s) Ultimately Responsible for Originating the Instructions in relation to a Transaction

##### 最終負責發出交易指示人士的身份

Are you the person who is ultimately responsible for originating the instructions in relation to a transaction?

閣下是否最終負責發出交易指示的人士?

Yes 是

No, please specify the details of the person who is ultimately responsible for originating the instructions in relation to a transaction. 否, 請列明最終負責發出交易指示的人士之資料。

Name 姓名 \_\_\_\_\_

HKID No. / Passport No. and Country of Issue 香港身份證號碼 / 護照號碼及簽發國家 \_\_\_\_\_

Residential Address 住址 \_\_\_\_\_

Occupation 職業 \_\_\_\_\_

Relationship with the person who is ultimately responsible for originating the instructions in relation to a transaction

賬戶主要持有人與最終負責發出交易指示的人士的關係 \_\_\_\_\_

#### Identity of Ultimate Beneficial Owner(s) of the Account 賬戶最終受益人身份

Are you the ultimate beneficial owner(s) who stand(s) to gain the commercial or economic benefit of the transaction and / or bear its commercial or economic risk?

閣下是否最終受益人, 可賺取交易的商業或經濟收益及 / 或承擔其商業或經濟風險?

Yes 是

No, please specify the details of the ultimate beneficial owner(s) 否, 請列明最終受益人士之資料。

Name 姓名 \_\_\_\_\_

HKID No. / Passport No. and Country of Issue 香港身份證號碼 / 護照號碼及簽發國家 \_\_\_\_\_

Residential Address 住址 \_\_\_\_\_

Occupation職業 \_\_\_\_\_

Relationship with the person who is ultimately beneficial owner(s) 賬戶主要持有人與賬戶最終受益人的關係  
\_\_\_\_\_

In order to comply with Section 5.1 (a) of Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission, please complete the following question

請提供以下資料以便遵守證券及期貨事務監察委員會持牌人或註冊人操守準則之第5.1(a)項要求

**1. Financial Information 財務狀況**

Annual Income (HKD) 年薪 (港幣):

- <\$200,000  \$200,000 – \$500,000  
 \$500,001 – \$1,000,000  > \$1,000,000

Other Asset其他資產:

- No 沒有  Securities 證券  Property 物業 (Owned 自置)  Property 物業 (Mortgage 按揭)  
 Other (Please specify) 其他, 請說明 \_\_\_\_\_

Annual Net Asset (HKD) 其他資產淨值(港幣):

- <\$200,000  \$200,000 – \$500,000  
 \$500,001 – \$1,000,000  > \$1,000,000

**2. Investment Objectives & Experience 投資目標及經驗**

Investment Objectives投資目標

- Short term 短線  Long term 長線  
 Hedging 對沖  Speculation 投機  
 Other (Please specify) 其他 (請說明) \_\_\_\_\_

Investment Experience投資經驗

- Securities 證券 Year(s) 年資: \_\_\_\_\_  
 Futures 期貨 Year(s) 年資: \_\_\_\_\_  
 Foreign Exchange 外匯 Year(s) 年資: \_\_\_\_\_  
 Bullion Investment 金銀投資 Year(s) 年資: \_\_\_\_\_  
 Others 其他 Year(s) 年資: \_\_\_\_\_

**3. Risk Tolerance 可承受風險**  Aggressive 高  Moderate 中  Conservative 低

**4. Are you interested in trading of the below product(s)? 閣下是否有意欲交易以下產品?**

- Yes, please tick the below product(s) you have interest to trade 有, 請選擇以下有意欲交易之產品  
 Derivative Warrants/ Callable Bull/Bear Contracts 衍生權證(窩輪) / 牛熊證  
 Exchange Traded Funds / Trust 交易所買賣基金/ 信托基金  
 Growth Enterprise Market (GEM) 創業板  
 No 否

**Client's Knowledge of Derivatives and Trading Experience 客戶對衍生工具產品的認識及投資經驗**

Have you ever undergone training or attended any courses or seminars on derivative product(s)?

客戶過去會否接受過有關衍生產品的培訓或修讀相關課程?

- Yes, I have undergone or attended the following courses or seminars 有, 本人過往曾接受培訓或修讀以下課程:

Name of Courses / Seminars 課程名稱 \_\_\_\_\_

Date 受培訓或修讀日期 \_\_\_\_\_

- No 否

Do you have any working experience related to derivative product(s)?

客戶現時或過去有否從事與衍生產品有關的工作？

- Yes, my current or previous work experience related to derivative product(s) is as follows:  
有, 本人現時或過去曾從事以下職業:  
Occupation 職業名稱: \_\_\_\_\_  
Period 任職日期: From 由 \_\_\_\_\_ To 至 \_\_\_\_\_  
Name of Employer 僱主名稱: \_\_\_\_\_
- No 否

Do you have any trading experience in derivative product(s)? 客戶有否買賣衍生工具產品的經驗？

- Yes,  
(i) I have traded the following product(s) in the previous 3 years: (i)有, 本人過往三年曾買賣以下衍生工具產品:  
 Callable Bull/Bear Contracts 牛熊證  
 Derivative Warrants 衍生權證(窩輪)  
 Synthetic Exchange Traded Funds 合成交易所買賣基金  
 Equity Linked Instruments 股票掛鈎票據  
 Futures & Options Contracts 期貨或期權合約  
 Others 其他 \_\_\_\_\_
- (ii) Total no. of trading derivative product(s) in the previous 3 years: (ii) 過往三年曾執行過以上衍生工具產品的總次數:  
 Less than 5 times 少於五次  
 5 times or above 五次或以上
- No 否

**Assessing of client's knowledge of derivative and characterization**  
**評估客戶對衍生工具產品的認識及分類**

(Official Use Only)  
(此欄由本公司職員填寫)

Client's knowledge of derivative 客戶對衍生工具產品的認識評估:

- Yes 有認識                      No 沒有認識
- Client has fully understood the relevant risks of the derivative product(s) enclosed herewith and wish to trade derivative product(s) 客戶已明白各類衍生產品所附帶的相關風險，並有意進行衍生產品交易
- Client **do not** wish to trade derivative product(s) 客戶**無意**進行衍生產品交易

**APPLICANT'S AGREEMENT & ACKNOWLEDGEMENT 申請人之承諾及確認**

Please indicate the type of Account you want to open by ticking "✓" and signing the appropriate boxes below  
請在開立的賬戶類別加上 "✓" 號並在相應空格內簽署

**Client Account Opening Execution 客戶開戶執行指示**

- Please open a Cash Account for me / us, the undersigned Client(s). I / We have read, understood and accepted the provisions of the Cash Client Agreement as set out in the Standard Terms and Conditions of Magusta Securities Limited and I / We agree to be bound by the same.  
請為我們(為下方簽署之客戶)開立現金賬戶。我們已經閱讀、明白並接受在邁高達證券有限公司的標準章程中，所載之現金客戶協議的條款，並同意這些條款的約束。
- Where the account is a joint account, we declare and confirm that each of the account holders may give in relation to the purchase or sale of any securities for the account, unless otherwise notified in writing signed by all of us to you.  
如賬戶為聯名賬戶，吾等聲明及確定，除非貴公司收到由所有賬戶持有人共同簽署的書面通知，每位賬戶持有人均可就本賬戶發出有關購買或出售任何證券的指示。

**Electronic Securities Trading Execution 電子證券交易執行指示**

(For Electronic Securities Trading Service Account Applicant(s) Only 只適用於使用電子證券交易申請者填寫)

- We declare that We want to use the following Service(s). We have read, understood and accepted the provisions of the Electronic Securities Trading Agreement as set out in the Standard Terms and Conditions of Magusta Securities Limited and We agree to be bound by the same.  
我們聲明欲使用電子證券交易服務。我們已經閱讀、明白並接受在邁高達證券有限公司的標準章程中，所載之電子證券交易協議的條款，並同意這些條款的約束。
- Electronic Securities Trading Service 電子證券買賣服務

Applicant's Signature  
申請人簽署

Date 日期

Co-Applicant's Signature (if any)  
聯名賬戶第二申請人簽署 (如適用)

Date 日期

Date 日期:

Witness's Signature 見證人簽署

Witness's Name 見證人姓名

Witness's Occupation 見證人職業

Date 日期

Acknowledged and Accepted by  
**Magusta Securities Limited**  
經由**邁高達證券有限公司**承認及接納

Date 日期

Dated 日期: \_\_\_\_\_

Authorized Signature(s) with  
Company Chop

授權簽署及公司印章

Please Attach 請附上:

- Copy of Primary (and Joint) Client's HKID Card or passport 個人(及聯名)賬戶持有人的身份證或護照副本
- Copy of a bank statement or utility bill in the latest 3 months for proof of residential address (P.O. Boxes are not accepted)  
最近3個月的銀行結單或公共服務單據副本, 作為住址證明 (郵政信箱恕不接受)

**CLIENT ACKNOWLEDGEMENT AND CONSENT**  
**客戶確認及承諾**

We, the undersigned Client(s) certify that the above information is accurate and complete. We are aware that Magusta Securities Limited reserves the right to cancel our application at any time if the information given in this application is found to be untrue.

我們為下方簽署客戶，確認以上資料皆屬實，我們明白若邁高達證券有限公司發現任何刻意隱瞞之事實，邁高達證券有限公司將保留取消此申請之權利。

We also confirm that the RISKS OF TRADING IN EXCHANGE-TRADED STRUCTURED PRODUCTS (e.g. derivative warrants, callable bull/bear contracts) contained in the above-mentioned Risk Disclosure Statements have been explained to us and We have understood the contents thereof.

我們確認已獲載於以上風險披露聲明之『買賣交易所買賣之結構性產品及衍生工具(例如:衍生權證，牛熊證)的一些相關風險』之解釋，且我們已明白其內容。

We understand that Magusta Securities Limited will rely on the above information to assess whether We have acquired the knowledge of derivative products.

我們明白 貴公司將會根據以上資料來評核我們是否對衍生產品有認識。

We acknowledge receipt of the Standard Terms and Conditions of Magusta Securities Limited.

我們確認已收取了邁高達證券有限公司之標準章則。

We have read and fully understood the contents of this Account Application and the Client Agreement and agreed to be bound by them.

我們已經閱讀並完全明白開戶申請表及客戶協議之內容，並同意受其等所約束。

We confirm that the Risk Disclosure Statement, and, if applicable, Risk Disclosure Information, in or accompanying the Client Agreement have been provided in a language of my choice (English or Chinese) and that We have read and accepted the nature and contents thereof. We appreciate that they are not and cannot be taken as a comprehensive or exhaustive list of all possible risks. We confirm that We have been given the opportunity to ask questions and seek independent advice if We so wish.

我們確認載或附於客戶協議之風險披露聲明已按本人選擇之語言(英文或中文)提供予我們，及我們已閱讀，瞭解和接受其/其等(若適用)性質和內容。我們明白這不是而且不能被當為一份完全或徹底列舉所有潛在風險的清單。此外，我們已被給予機會提出問題及徵求獨立的意見(若我們有此意願)。

Primary Client's signature  
主要賬戶持有人簽署

Secondary Client's Signature  
聯名賬戶第二持有人簽署

\_\_\_\_\_  
Date 日期

\_\_\_\_\_  
Date 日期

**CLIENT'S DECLARATION FOR DATA PROTECTION**  
**客戶個人資料保障聲明**

We, the undersigned, have read and understood the contents of the Personal Information Collection Statement ("PICS") of Magusta Securities Limited ("MAGUSTA") (see Appendix 2). We acknowledge receipt of a copy of the PICS and that the most up-to-date version of the PICS is available for download from MAGUSTA's website at <http://www.magusta.com.hk> or upon written request made to MAGUSTA's Data Protection Officer.

我們，下述簽署客戶/聯名客戶，已閱讀過及明白邁高達證券有限公司（“邁高達證券”）的收集個人資料聲明（「該聲明」）（見附錄二）。我們確認已收妥該聲明的副本及知悉最新版本的聲明可於邁高達證券之網站<http://www.Magusta.com.hk> 取覽或以書面方式向邁高達證券資料保護專員索取。

We hereby consent to the contents of the PICS. 我們謹此同意該聲明的所有內容。

- We hereby consent the use of my/our personal data by MAGUSTA in direct marketing for financial, securities, commodities, derivatives, investment, financing, insurance, MPF/ORSO, wealth management, investor education and related services, products and facilities, reward, loyalty or privileges programmes or donations and contributions for charitable and/or non-profit making purposes.

我們同意邁高達證券使用我們的個人資料於直接促銷金融、證券、商品、衍生產品、投資、信貸、保險、強積金 / 職業退休計劃、財富管理、投資者教育及相關服務、產品及設施，獎賞、年資獎勵或優惠計劃或為慈善及 / 或非牟利目的而作出之捐款及捐贈。

- We do not consent to the use of my/our personal data in direct marketing for financial, securities, commodities, derivatives, investment, financing, insurance, MPF/ORSO, wealth management, investor education and related services, products and facilities, reward, loyalty or privileges programmes or donations and contributions for charitable and/or non-profit making purposes.

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\_\_\_\_\_  
Primary Client's Signature 主要賬戶持有人簽署

\_\_\_\_\_  
Secondary Client's Signature 聯名賬戶第二持有人簽署

\_\_\_\_\_  
Client Name  
客戶名稱

\_\_\_\_\_  
Date  
日期

\_\_\_\_\_  
Joint Client Name  
聯名客戶名稱

\_\_\_\_\_  
Date  
日期

This document forms a part of the PICS. Terms used in this document shall have meanings as defined in the PICS.

本文件乃該聲明的一部份。在本文件中使用的詞彙的含義按該聲明的定義為準。

If subsequent to giving the above consent, a client wishes to withdraw his/her consent, the client may send written notification to MAGUSTA's Data Protection Officer by mail or fax to the address or fax number below. MAGUSTA shall then cease to use the client's personal data in direct marketing without any charge.

如客戶在作出以上同意後，希望撤回同意，客戶可以書面方式通知邁高達證券資料保護專員，其地址及傳真號碼如下。此後，邁高達證券必須停止使用客戶的個人資料作直接促銷用途，費用全免。

The Data Protection Officer  
Magusta Securities Limited

資料保護專員  
邁高達證券有限公司  
香港

Hong Kong,  
Tel :  
Fax :

電話:  
傳真:

For Office Use Only 此部份由本公司填寫	Reviewed By 審閱人	Input by 資料輸入人	Checked by 審核人
	Date 日期	Date 日期	Date 日期

**FOR OFFICIAL USE ONLY 只供公司填寫**

### DECLARATION BY LICENSED REPRESENTATIVE 持牌代表聲明

I, licensed representative of Magusta Securities Limited, hereby declare and confirm that I have fully explained the contents of this document and the risks and consequences of consenting to \_\_\_\_\_ (name of Client / Primary Client) or (in case of Joint Account) \_\_\_\_\_ (name of Secondary Client) at \_\_\_\_\_

\_\_\_\_\_ (place where the explanation took place) in a language (English or Chinese) which the client fully understands and have invited the client to ask questions and take independent advice (if the Client wishes).

Based on the information provided by the Client, the risk in association with money laundering and terrorist financing activity is \*HIGH / NEUTRAL / LOW.

本人為邁高達證券有限公司的持牌代表，謹此聲明及確認本人已於\_\_\_\_\_ (進行解釋的地址)，以客戶完全明白的語言(中文或英文)向\_\_\_\_\_ (客戶/ 主要賬戶持有人姓名) 或(如屬聯名戶口) \_\_\_\_\_ (聯名賬戶第二持有人姓名)清楚解釋本協議書及相關的風險披露聲明的內容，並已邀請客戶小心及詳細閱讀本協議書及相關的風險披露聲明，提出問題及徵求獨立意見 (如客戶有此意願)。

基於客戶提供的資料，客戶與洗黑錢及資助恐怖分子活動的風險評定為\* 高 / 中 / 低 性。

Signed by licensed representative

持牌代表簽署 : \_\_\_\_\_

Name of licensed representative

持牌代表姓名 : \_\_\_\_\_

CE Number

中央編號 : \_\_\_\_\_

Date

日期 : \_\_\_\_\_

*\* Please delete as appropriate*

請刪去不適用者

****For Official Use Only 此部份由本公司填寫****		
Name of AE 客戶主任姓名	Brokerage 佣金	Trading Limit 交易限額
Input By 文件輸入	Checked by 文件查核	Approved by 批准