



**A. Secondary Joint Account Holder 聯名帳戶第二持有人**

**1. Client Personal Information 客戶個人資料**

客戶姓名 \_\_\_\_\_ 先生/女士 Client Name \_\_\_\_\_ Mr./Ms.

I.D. Card/Passport No. 身份證/護照號碼: \_\_\_\_\_ Nationality 國籍: \_\_\_\_\_

Education Level 教育程度  University or above 大學或以上  Secondary 中學  Primary school or below 小學或以下  Others 其他 \_\_\_\_\_

Full Residential Address 住宅地址: \_\_\_\_\_

Home Tel No. 住宅電話號碼: \_\_\_\_\_ Mobile Phone No. 手提電話號碼: \_\_\_\_\_

Fax No. 傳真號碼: \_\_\_\_\_ E-mail Address 電郵地址: \_\_\_\_\_

**2. Employment Status 工作狀況**

Employed 受僱  Self-Employed 自僱  Retired 退休  Housewife 家庭主婦  Others 其他 \_\_\_\_\_

Name(s) of Employer 僱主名稱: \_\_\_\_\_ Office Tel No. 公司電話號碼: \_\_\_\_\_

Office Address 公司地址: \_\_\_\_\_

Nature of Business 業務性質: \_\_\_\_\_ Years of Service 服務年資: \_\_\_\_\_ Position 職位: \_\_\_\_\_

**3. Financial Situation 財政狀況**

Source of Funding 資金來源 (港元 HKD)	Estimated Annual Income 估計每年收入	Asset Items 資產項目	Approximate Total Net Asset Value 估計資產淨值
<input type="checkbox"/> Salary 薪金 <input type="checkbox"/> Commission 佣金	<input type="checkbox"/> < 120,000	<input type="checkbox"/> Land and Property 房地產	<input type="checkbox"/> < 100,000
<input type="checkbox"/> Family Income 家庭收入 <input type="checkbox"/> Rental Income 租金收入	<input type="checkbox"/> 120,000 - 360,000	<input type="checkbox"/> Cash 現金/Deposit 存款	<input type="checkbox"/> 100,000 - 300,000
<input type="checkbox"/> Retirement Fund 退休基金 <input type="checkbox"/> Others 其他: _____	<input type="checkbox"/> 360,001 - 600,000	<input type="checkbox"/> Listed securities 上市證券	<input type="checkbox"/> 300,001 - 500,000
<input type="checkbox"/> Business Profit 營業溢利	<input type="checkbox"/> 600,001 - 1,200,000	<input type="checkbox"/> Vehicle(s) 車輛	<input type="checkbox"/> 500,001 - 1,000,000
<input type="checkbox"/> Dividend 股息 / Interest 利息	<input type="checkbox"/> > 1,200,000	<input type="checkbox"/> Others 其他: _____	<input type="checkbox"/> 1,000,001 - 5,000,000
<input type="checkbox"/> Personal Savings 個人儲蓄			<input type="checkbox"/> > 5,000,000
<input type="checkbox"/> Investment Income 投資收入			

**4. Investment Experience & Derivative Products Knowledge Assessment 投資經驗及衍生產品認識評估**

(i) Investment Objective(s) 投資目標

Dividend Income 股息收入  Capital Appreciation 資本增值  Speculation 投機  Hedging 對沖

Others 其他 \_\_\_\_\_

(ii) Investment Experience 投資經驗

<input type="checkbox"/> Stock 股票	年數 Yr(s) _____	<input type="checkbox"/> Derivative Warrants 衍生認股證	年數 Yr(s) _____
<input type="checkbox"/> Callable Bull/Bear Contracts (CBCB) 牛熊證	年數 Yr(s) _____	<input type="checkbox"/> Futures & Options 期貨及期權	年數 Yr(s) _____
<input type="checkbox"/> Mutual Funds/Unit Trust 互惠基金/單位信託基金	年數 Yr(s) _____	<input type="checkbox"/> Hedge Funds 對沖基金	年數 Yr(s) _____
<input type="checkbox"/> Structured Investment Products 結構性產品	年數 Yr(s) _____	<input type="checkbox"/> Fixed Income Securities 固定收益證券	年數 Yr(s) _____
<input type="checkbox"/> Forex/Bullion 外匯/貴重金屬	年數 Yr(s) _____	<input type="checkbox"/> Bond 基金	年數 Yr(s) _____
<input type="checkbox"/> Others 其他 _____	年數 Yr(s) _____		

(iii) Assessment of Client's Knowledge of Derivatives (please answer all questions) 客戶對衍生工具的認識評估 (請回答所有問題)

1. Have you undergone any training or attended any courses that provide general knowledge of the nature and risks of derivatives (e.g. relevant online or classroom courses offered

by academic institutions or financial institutions)? If yes, please specify: 你是否已接受任何有關介紹一般衍生產品之性質及風險的培訓或課程 (例如由學術機構或金融機構所提供之網上課程或教室課程)? 如有, 請註明:

Name of course/seminar 課程/研討會名稱: \_\_\_\_\_

Organiser 主辦機構: \_\_\_\_\_ Year of Participation 參與年份: \_\_\_\_\_

2. Do you have any current or previous work experience related to derivative products? If yes, please specify: 你現時或過去是否擁有與衍生產品有關的工作經驗? 如是, 請註明:

Name of employer 任職公司名稱: \_\_\_\_\_ Position 職位: \_\_\_\_\_

3. Have you executed 5 or more transactions in any derivative products within the past three years? If yes, please state the derivative product(s) you have traded: 你曾在過去三年執行過五次或以上有關任何衍生產品的交易? 如有, 請提供有關產品名稱:

- |  |   |   |  |
|--|---|---|--|
| <input type="checkbox"/> Callable Bull/Bear Contracts (CBCB)<br>牛熊證      | <input type="checkbox"/> Derivative Warrants<br>衍生認股證     | <input type="checkbox"/> Futures and Options<br>期貨或期權合約交易           | <input type="checkbox"/> Stock Options<br>股票期權 |
| <input type="checkbox"/> Synthetic Exchange Traded Funds (ETF)<br>合成 ETF | <input type="checkbox"/> Equity Linked Products<br>股票掛鈎產品 | <input type="checkbox"/> Others (Please specify)<br>其他 (請註明): _____ |  |

**\*\* FOR OFFICIAL USE ONLY 只供本公司使用 \*\***

ASSESSMENT RESULT 評估結果  
(FOR OFFICIAL USE ONLY 只供本公司使用)

The above Client is characterised as a client 上述客戶被歸類為  
 without knowledge of derivatives 「對衍生工具沒有認識」  
 with knowledge of derivatives 「對衍生工具有認識」

## 5. Disclosure 披露

1. Are you licensed or register with the SFC or HKMA? 閣下是否香港證監會持牌人或註冊人?

No 不是  Yes 是 Please provide employer's consent letter (請提供僱主之書面同意書)

2. Are you a director or an employee of any licensed corporation with Hong Kong Securities and Futures Commission and Hong Kong Monetary Authority? 閣下是否香港證監會持牌法團之董事或僱員?

No 不是  Yes 是 Please provide employer's consent letter (請提供僱主之書面同意書)

3. Are you a substantial shareholder\*, a senior 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)公司之主要股東\*、高級人員或董事?

No 不是  Yes 是 Company Name & Stock Code 公司名稱及上市編號: \_\_\_\_\_

\* "substantial shareholder" means, in relation to a company, a person who is entitled to exercise, or control the exercise of, 10% or more of the voting power at any general meeting of that company. 「主要股東」指, 就一間公司而言, 任何人士其於該公司之任何股東大會擁有權行使, 或可控制行使, 10%或以上之投票權。

4. Are you, either alone or with your spouse, in control of 35% or more of the voting rights of another client of Midas Securities Limited? 閣下是否單獨或與配偶共同控制金源證券另一客戶之35%或以上的投票權?

No 不是  Yes, Account Name & No. 是, 戶口名稱及號碼: \_\_\_\_\_

5. Are you the spouse or relatives of another client of Midas Securities Limited? 閣下是否金源證券另一客戶之配偶或親屬?

No 不是  Yes, Spouse or relative Account Name & No. 是, 配偶或親屬戶口名稱及號碼: \_\_\_\_\_

6. Do you have any relative(s) working in Midas Securities Limited? 閣下的直系親屬是否為金源證券有限公司之員工?

No 不是  Yes 是 Name 姓名: \_\_\_\_\_ Relationships 關係: \_\_\_\_\_

7. Are you or any of your family member(s) holding the following 閣下或閣下家庭成員是否有下列職務及關聯:

(A) Senior government / public officer 政府高層/公職人員

No 不是  Yes, Name & Department 是, 姓名及機構名稱: \_\_\_\_\_

(B) Political position / title / association 政治人物/職務/組織

No 不是  Yes, Name & Department 是, 姓名及機構名稱: \_\_\_\_\_

(C) Other governmental / political exposure 與其他政府/政治聯繫

No 不是  Yes, Name & Department 是, 姓名及機構名稱: \_\_\_\_\_

## B. Communication Method 通訊方式

1. Secondary Joint Account holder (for joint Account only) 聯名帳戶第二持有人(只適用於聯名帳戶) :

\*\*Electronic Means (Email) will be the default communication method unless you select the following alternatives otherwise. 除非選擇下列其它方式, 否則電子形式(電郵)將為預設的通訊方式。 Please state your email address: 請填寫電郵地址: \_\_\_\_\_

By Post (any one of the options): 以郵寄形式(其中任何一項):  Residential Address 住址  Office Address 公司地址  Other Correspondence Address 其它通訊地址:

**C. Direct Marketing (Refer to Privacy Policy and Personal Information Collection Statement) 直接促銷(參閱私隱政策及個人資料收集聲明)**

1. Secondary Joint Account holder (for joint Account only): 聯名帳戶第二持有人(只適用於聯名帳戶) :

The Client(s) expressly agree that MSL shall use the Client's personal data for direct marketing as stipulated in Personal Information Collection Statement, and wish to receive any direct marketing materials or messages from MSL via the following channel(s): 客戶清楚同意金源證券將客戶的個人資料根據個人資料收集聲明所載使用於直接促銷, 並且同意收到金源證券經以下途徑發出的任何直接促銷資料或訊息:

Any Channel 任何途徑  E-mail 電郵  Mail 郵件  SMS 短訊  Phone 電話

The Client(s) do not wish MSL to provide the Client's personal data to any other persons for their use in direct marketing, whether or not such persons are members of the Midas Securities Limited. 客戶不欲金源證券將客戶的個人資料提供予任何其他人士作直接促銷用途。

**D. FATCA SELF-CERTIFICATION (Secondary Joint Account Holder) 海外帳戶稅收合規法案聲明書(聯名帳戶第二持有人)**

美國制定的《海外帳戶稅收合規法案》於 2014 年 7 月 1 日起生效。此等新稅務條例要求香港金融機構識別客戶是否美國公民或居民, 並向美國稅務當局匯報。現就此事懇請閣下填妥及簽署此聲明書。

請就以下問題填寫合適答案:

1. 本人聲明本人為美國公民。 是  否

若是, 本人之納稅人識別號碼為 \_\_\_\_\_

2. 本人聲明本人為美國居民(包括綠卡持有者)。 是  否

若是, 本人之納稅人識別號碼為 \_\_\_\_\_

**聲明**  
本人同意金源證券有限公司可向本地及海外監管機構或稅務機構披露、呈交或提供本人的資料以確立本人於任何司法管轄區的稅務責任。本人在此聲明本人已查閱此聲明之內容, 並盡本人所知及確信, 聲明內容均屬真實, 正確及完整。本人同意如以上聲明有變更, 將於 30 日內通知貴公司。

客戶簽署: \_\_\_\_\_ 日期: \_\_\_\_\_

客戶姓名: \_\_\_\_\_

註: 請聯名帳戶每位持有人各自填寫一份聲明書。

**FATCA SELF-CERTIFICATION (INDIVIDUAL INVESTOR)**

The Foreign Account Tax Compliance Act ("FATCA") enacted in the United States of America ("US") become effective 1 July 2014. The new US tax regulations require Hong Kong financial institutions to identify and report US persons to the relevant tax authority. To certify whether you are a US citizen or resident, please complete and sign this self-certification form.

Please select the appropriate boxes below:

1. I certify that I am citizen of the United States of America. Yes  No

If yes, My Taxpayer identification no. is \_\_\_\_\_

2. I certify that I am resident of the United States of America for US federal income tax purposes. (Includes green card holder)

Yes  No

If yes, My Taxpayer identification no. is \_\_\_\_\_

**CERTIFICATION**

I hereby consent for Midas Securities Limited to disclose, report or share my relevant information with local and overseas regulators or tax authorities where necessary to establish my tax liability in any jurisdiction. I declare that I have examined the information on this self-certification and to the best of my knowledge and belief, it is true, correct, and complete. I will inform your company within 30 days if any information herein becomes incorrect.

Client's signature: \_\_\_\_\_ Date: \_\_\_\_\_

Client's Name: \_\_\_\_\_

Notes: Please complete a separate self-certification for each joint account holder.

**E. Joint Account Mandate (Applicable to Joint Account Client only) 聯名帳戶開戶委託書(只適用於聯名帳戶之客戶)**

1. We hereby request and authorise MSL to open the account(s) with MSL in our joint names and at any time hereafter upon the instructions  
本人茲聯同請求及授權金源證券用本人等聯名在金源證券開立買賣帳戶辦理，並得於今後依照本人等之中

ANY ONE 任何一人/  ALL\* of us 全體\* 所指示

to handle the following matters 處理下列各項事宜

- a. to open such further account or accounts in our joint names. 代本人等聯名另行開立戶口。
- b. to honour and pay bills of exchange drafts promissory notes or orders for payment drawn accepted or made or to accept and act upon receipts for monies overdrawn by us or for monies owing by MSL to us on any account whatsoever or any other documents or written instructions of whatsoever nature kind or description and to debit the same to our joint account or accounts and to carry out any instructions in connection with our joint account or accounts notwithstanding that any such debiting or carrying out may: 該聯名戶口所發出之支付憑票或在金源證券透支款項之收據或本人等聯名在金源證券存款之單據或任何其他文件或書面指示照予支帳，並處理一切與各該聯名戶口有關事宜，而該等指示即使引致下列情況，仍屬有效：
- (i) direct a transfer to an account in the individual name of any one of us. 由聯名戶口調撥款項轉入本人等任何一人之私人戶口。
  - (ii) require MSL make payment to any one of us. 要求金源證券付款給予本人等之任何一人。
  - (iii) cause such joint account or accounts to be in debit or any debit balance thereon to be increased but without prejudice to MSL right to refuse to allow any such debit balance or increase in debit balance. 引致各該聯名戶口產生透支或增加透支數額情況，但如有此等情況金源證券得保留拒絕透支或增加透支數額之權利。
  - (iv) and we will be jointly and severally responsible for the repayment on demand of any such debit balance and interest and of any money that MSL may from time to time advance to us on any joint loan account together with interest thereon. 本人等茲同意個別及聯同負責，一經貴公司通知，即當如數將所有透支款項連同應付利息及其他一切由本人等聯名向金源證券借到之款項連同應付利息一併清償，絕無異議。
- c. without in any way limiting the foregoing general request to make any advance to us by way of loan or advance or discount or in any manner howsoever with or without security. 除上列範圍外，金源證券亦可以放款、透支、貼現或任何其他方法，不論有抵押或無抵押，給予貸款。
- d. without in any way limiting the foregoing general request to deliver any securities deeds boxes and parcels and their contents and property of any description held in our joint name. 同時亦可移交由本人等聯名寄存金源證券之任何證券、契據、包裹或其他財物給予指定人仕收受。
2. We authorise MSL to accept for collection any cheque or other documents payable to any one or more of us and to credit the proceeds thereof to our joint account or accounts even though such cheque or order or document has not been endorsed by the payee or payees thereof. 本人等授權金源證券，由本人等存入金源證券而列明本人等任何一人或多人為受款人之支票，支付委託書或其他票據，雖未經受款人背書，仍均可由金源證券接受代收，收受後記入本人等聯名戶口。
3. We authorise MSL to place to the credit of our joint account or accounts all sums of money, interest, dividends etc., which MSL may receive on account of any one or more of us or our joint and several account or on our joint account. 本人等授權金源證券代本人等個別或聯名收受之一切款項，包括利息、股息等等，均可照數記入本人等聯名帳戶內。
4. Subject to any claim or objection on the part of the Estate Duty Commissioner or any other appropriate authority, we authorise MSL to hold on the death of any one of us any credit balance or balances of any account or accounts in our joint names and any securities deeds boxes and parcels and their contents and property of any description held in our joint names to the order of the survivors or survivor of us or the executors or administrators of the last survivor of us without prejudice to any right you may have in respect of such balance or balances securities etc. arising out of any lien charge pledge set-off counterclaim or otherwise whatsoever or any step or any legal proceedings which MSL may in your absolute discretion deem it desirable to take in view of any claim by any person other than the survivors or survivor of us or the executors or administrators of the last survivor of us. 除香港遺產稅徵收主任或其他政府機關有提出要求或提出反對等情況外，本人等授權金源證券可於本人等中任何一人身故後，代為保管各該聯名戶口之存款，與及本人等聯名寄存金源證券之任何證券、契據、包裹或 其他財物，而依照生存在世之本人等或唯一生存者之遺產承辦人或管業人之指示加以處理，而不得損害金源證券對存款、證券等等應有之留置權、抵押權、典質權、比對權，及要求或任何其他權利為原則，又除本人等中之生存者或其遺產承辦人或管業人以外，不論何人，如有要求享受該存款、證券等等之權益者，金源證券亦有斟酌選擇之絕對自由，對該等人士採取任何合乎需要之步驟或向法院提出任何訴訟程序。
5. We agree that any liability whatsoever incurred to MSL by us in respect of the foregoing shall be our joint and several liability. 如有因此請求及授權金源證券處理上述事項而致產生債務者，本人等同意個別及共同負責。
6. We agree to observe and be bounded by such of MSL's Rules for the time being in force as will be applicable to the appropriate nature of each of our accounts provided that if there is any conflict between the said Rules on the one hand and the foregoing terms and conditions contained herein on the other hand the latter shall prevail. 本人等同意遵守金源證券所訂有關而適用於本人等在金源證券所開立每一戶口之章則，及接受該等章則約束，至於該等章則與本委託書互有抵觸之處，則應以本委託書訂定之條文為準。
7. In the absence of contrary written instructions signed by all of us the foregoing conditions shall apply to each and every account of whatever nature now or hereafter opened by MSL in our joint names. 上列條文均適用於金源證券此次或日後代本人等開立之聯名戶口，直至本人等以聯名簽署之書面通知取消為止。

個人/聯名帳戶主要持有人簽署

Signature of Primary Joint Account Holder

聯名帳戶第二持有人簽署

Signature of Secondary Joint Account Holder