



**Joint Account Secondary Holder Supplement Form
(Securities & Futures and Options)
聯名賬戶第二持有人附加表格 (證券及期貨及期權)**

1. Type of Account 賬戶種類		
Hao Tian International Securities Limited 昊天國際證券有限公司 CE No. ABQ901		
<input type="checkbox"/> Cash Account 現金賬戶	<input type="checkbox"/> E-Trading 電子交易	A/C no.號碼 _____
<input type="checkbox"/> Margin Account 保證金賬戶	<input type="checkbox"/> E-Trading 電子交易	A/C no.號碼 _____
Hao Tian International Futures Limited 昊天國際期貨有限公司 CE No. BHH235		
<input type="checkbox"/> Global Futures and Option Account 環球期貨及期權賬戶	<input type="checkbox"/> E-Trading 電子交易	A/C no.號碼 _____
(Except Hong Kong Futures Market 香港期貨市場除外)		

2. Personal Information 個人資料			
Individual/ Joint Account Primary Account Holder			
個人/聯名賬戶主要持有人			
Client Name 客戶姓名	(中文) (English)	Date of Birth 出生日期 Place of Birth 出生地	(dd 日)/(mm 月)/(yyyy 年)
Gender 性別	<input type="checkbox"/> M 男 <input type="checkbox"/> F 女	Marital Status 婚姻狀況	<input type="checkbox"/> Married 已婚 <input type="checkbox"/> Single 未婚
Nationality 國籍		HK ID No. 香港身分證	
Identification Type 身份證件類別	<input type="checkbox"/> Passport 護照 <input type="checkbox"/> Permit Entry 通行証 <input type="checkbox"/> Visa 簽證 <input type="checkbox"/> Others 其他:	Identification No. 身份證件號碼	
Telephone No. 電話號碼	(Mobile 手提) (Home 住宅)	E-mail 電郵 Fax No. 傳真	
Residential Address 居住地址			
Duration of Residence 居住年期		Correspondence Address 通訊地址	
Education Level 教育文平	<input type="checkbox"/> Primary Education or below 小學程度或以下 <input type="checkbox"/> Postgraduate Education or above 碩士程度或以上	<input type="checkbox"/> Secondary Education 中學程度	<input type="checkbox"/> University Education 大學程度
Employment Status 就業狀況	<input type="checkbox"/> Employed 受僱 <input type="checkbox"/> Self-employed 自僱 <input type="checkbox"/> Retired 退休 <input type="checkbox"/> Others 其他:	Employer 僱主 Business Nature 業務性質 Position 職位: Company Contact 公司電話	
Business /Office Address 工作/營業地址			

3. Financial Statuses 財務狀況	
Source of funds 資金來源	<input type="checkbox"/> Salary 薪金 <input type="checkbox"/> Saving 儲蓄 <input type="checkbox"/> Business Profit 營業溢利 <input type="checkbox"/> Inheritance 遺產 <input type="checkbox"/> Investment 投資 <input type="checkbox"/> Rental Income 租金收入 <input type="checkbox"/> Others 其他:
Total Annual Income 年收入 (HK\$)	<input type="checkbox"/> Under 少於 200,000 <input type="checkbox"/> 200,000-500,000 <input type="checkbox"/> 500,000-1,000,000 <input type="checkbox"/> 1,000,000-5,000,000 <input type="checkbox"/> 5,000,000-10,000,000 <input type="checkbox"/> Over 超過 10,000,000
Net Worth 資產淨值 (Asset minus Liabilities 資產減去負債) (HK\$)	<input type="checkbox"/> Under 少於 200,000 <input type="checkbox"/> 200,000-500,000 <input type="checkbox"/> 500,000-1,000,000 <input type="checkbox"/> 1,000,000-5,000,000 <input type="checkbox"/> 5,000,000-10,000,000 <input type="checkbox"/> Over 超過 10,000,000
Have you ever Declared Bankruptcy? 閣下曾否宣佈破產?	
<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是, provide the discharged Date and the proof of discharged documents. 請提供解除破產日期和撤銷破產的證明文件 *Please note that if you still have a status of bankruptcy, Hao Tian will not accept your account application. *請注意, 若現在仍為破產狀態, 本公司將不能接受閣下的開戶申請	
Does you be registered with the Securities and Futures Commission in Hong Kong 閣下否於香港證券及期貨監察委員會註冊	
<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是, enclose your employer's consent letter 附上僱主的同意書	

4. Investor Characterization 投資者分類	
Do you have adequate knowledge on derivative products? 閣下是否對衍生產品有認識?	
<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是	
If you have the knowledge on derivative products, please answer the following 若閣下對衍生產品有認識, 請回答以下問題: (If yes, please specify 如是, 請說明)	
a. Have you ever undergone training or attended courses on derivate products with general knowledge of the nature and risks of derivatives? 閣下是否曾接受有關衍生產品性質和風險的一般知識培訓或修讀相關課程?	
<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 <input type="checkbox"/> Regulatory Authority 監管機構 <input type="checkbox"/> Education Institution 教育機構 <input type="checkbox"/> Exchange 交易所 <input type="checkbox"/> Financial Institution 金融機構 <input type="checkbox"/> Tertiary School 大專院校 <input type="checkbox"/> Online Materials 網上資源 <input type="checkbox"/> Others 其他 <input type="checkbox"/> Seminar 講座	
b. Do you have current or previous work experience related to derivative products? 閣下是否現時或之前從事衍生產品的行業?	
<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 <input type="checkbox"/> Brokerages 證券機構 <input type="checkbox"/> Asset Management Company 資產管理機構 <input type="checkbox"/> Banks 銀行 <input type="checkbox"/> Fund Houses 基金公司 <input type="checkbox"/> Exchanges 交易所 <input type="checkbox"/> Regulatory Authority 監管機構 <input type="checkbox"/> Others 其他 <input type="checkbox"/> Financial Media 財經媒體	
c. Do you have any trading experience related to derivative product(s)? 閣下是否有買賣衍生產品?	
<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 <input type="checkbox"/> Callable Bull/Bear Contracts 牛熊證 <input type="checkbox"/> Equity Linked Instruments 股票掛鈎票據 <input type="checkbox"/> Warrants 窩輪 <input type="checkbox"/> Future & Options Contracts 期貨或期權合約 <input type="checkbox"/> Synthetic ETFs 合成交易所買賣基金 <input type="checkbox"/> Leveraged Foreign Exchange 槓桿外匯 <input type="checkbox"/> Others (please specify) 其他(請說明)::	

5. Investment Experience 投資經驗

<input type="checkbox"/> Stocks, Debentures or Other Securities 股票、債券及其他證券	Experience (Year) 年資
<input type="checkbox"/> Derivative Products 衍生產品, CBBC 牛熊證, Warrant 窩輪	Experience (Year) 年資
<input type="checkbox"/> Futures & Option 期貨/期權	Experience (Year) 年資
<input type="checkbox"/> Stocks Option 期貨/期權	Experience (Year) 年資
<input type="checkbox"/> Unit Trust 單位信託基金	Experience (Year) 年資
<input type="checkbox"/> Leveraged Foreign Exchange 槓桿外匯	Experience (Year) 年資
<input type="checkbox"/> Precious Metals 貴重金屬	Experience (Year) 年資
<input type="checkbox"/> Equity Linked Instruments 股票掛鈎票據	Experience (Year) 年資
<input type="checkbox"/> Others (specify): 其他 (請註明):	

6. Identity Declaration 身份聲明

1. I hereby declare that I am the ultimate beneficial owner(s) of the account.

本人現宣佈本人是該戶口最終實際受益擁有人。

Yes 是

No 否 If not, the Beneficial Owner of the following: 如否, 最終實益擁有人如下:

Name 姓名: _____

Relationship 關係: _____

ID / Passport No. _____

Country of Issue _____

身份證/護照號碼: _____

簽發國家: _____

Home Address _____

住宅地址: _____

Please provide the ultimate beneficial owner's identification document and valid address proof.

請提供最終實際受益擁有人的身份證明文件和有效的地址證明。

2. Are you and/or any of the ultimate beneficial owner(s) of the Account related to any employee or director of Hao Tian or any of its subsidiaries or associated companies?

閣下及/或任何之最終帳戶受益人是否與昊天及其附屬或聯營公司之僱員/董事有任何關係?

No 否

Yes 是 (If yes, please specify 如是, 請說明)

Name of the employee /

director

僱員/董事姓名: _____

Relationship 關係: _____

3. I confirm that I am an employee, agent or consultant of a member of any Hong Kong Exchange / Licensed Dealer or Trader.

本人確應本人是任何香港交易所會員/持牌買賣商之職員或代理人或顧問。

No 否

Yes 是 (If yes, please specify 如是, 請說明)

Category 類別

Name of Member/Trader

會員 / 買賣商名稱

Hong Kong Exchange _____

Licensed Dealer/Trader _____

香港交易所

持牌買賣商

Registration No. _____

Status 身份

註冊號碼

4. I confirm that I am a senior officer / director or in control of company listed on any exchange / market.

本人確認本人是在交易所 / 市場上市公司之高級職員 / 董事。

No 否

Yes 是 (If yes, please specify 如是, 請說明)

Company Name

公司名稱: _____

Position 職位: _____

Stock No. 上市編號: _____

7. Additional Disclosure 額外披露**Related Margin Financing Account(s) 相關保證金融資賬戶**

1. Does your the spouse maintain a margin financing account with Hao Tian?

閣下的配偶是否持有昊天任何相關保證金融資賬戶?

No 否

Yes 是 (If yes, please specify 如是, 請說明)

Name of account holder

賬戶持有人姓名

Account No.

賬戶號碼

Account Type.賬戶類別:

Cash Securities 現金證券

Margin Securities 保證金證券

Futures and Options 期貨及期權

Asset Management 資產管理

2. Does you or jointly with your spouse control 35% or more of the voting rights of another margin financing account with Hao Tian?

閣下及/或其配偶是否單獨或共同控制昊天之其他賬戶 35%或以上之表決權?

No 否

Yes 是 (If yes, please specify 如是, 請說明)

Name of Related Company

關聯公司名稱

Account No.

賬戶號碼

Account Type.賬戶類別:

Cash Securities 現金證券

Margin Securities 保證金證券

Futures and Options 期貨及期權

Asset Management 資產管理

3. Do you or your member of your group or any company associated with you have an account opened with Hao Tian?

閣下是否有以閣下旗下之公司於昊天已開立賬戶?

No 否

Yes 是 (If yes, please specify 如是, 請說明)

Name of Related Company

關聯公司名字

Account No.

賬戶號碼

Account Type.賬戶類別:

Cash Securities 現金證券

Margin Securities 保證金證券

Futures and Options 期貨及期權

Asset Management 資產管理

4. Do you own or your behalf or for your another person(s), body or corporation or in which you have an interest (whether direct or indirect) with Hao Tian or any of its subsidiaries or associated companies, particulars of any and all other accounts (whether individual, joint, corporate, trustee) beneficially held?

閣下或閣下代表他人、公司、是否有直接或間接利益在昊天及其附屬或聯營公司由昊天實益持有、擁有或運作, 其他賬戶詳情(無論個人、聯名、公司、託管)?

No 否

Yes 是

Account Name

賬戶名稱:

Account No.

賬戶號碼:

Relationship

關係:

Account Name

賬戶名稱:

Account No.

賬戶號碼:

Relationship

關係:

8. Use of Personal Information 個人資料之使用

I/We have understood and agreed that the personal information collected or held by Hao Tian, whether contained in this form or otherwise obtained by the member of the Hao Tian including an affiliated or associated company of a members of the Hao Tian (as applicable), may be used by the member of the Hao Tian (as applicable) for the following voluntary purposes:

本人/吾等亦已明白及同意一切由昊天從本開戶表格或以其他方式獲取而由昊天集團成員的相關聯繫或有關聯公司收集或持有的個人資料，均可供昊天集團成員使用作以下自願性用途:

- (a) to provide marketing materials and conduct direct marketing activities in relation to financial products and services of Hao Tian and/or other financial services providers; and
為昊天及/或其他金融服務供應商的金融產品及服務提供市場推廣資料及進行直接市場推廣活動；及
- (b) to conduct market research and surveys for the Hao Tian' development of service and product.
就昊天集團成員的服務及產品發展進行市場調查及研究。

Please tick here if I/we do not want Hao Tian to use his/her personal data for the voluntary purposes set out above.

如本人/吾等不欲昊天將客戶的個人資料用於上述自願性用途，請加上✓號。

9. U.S. Tax Obligations 美國稅務責任

I acknowledge that I **do NOT have** any US tax obligations.

本人確認**沒有**任何美國稅務責任。

Please provide the appropriate U.S. IRS Form W-8 if you intend to trade overseas securities.

如閣下擬進行環球證券買賣，請提供適當的美國國家稅務局 W-8 表格。

I hereby consent for Hao Tian to disclose, report or share my personal information with local and overseas regulators or tax authorities where necessary to establish my tax liability in any jurisdiction.

本人同意昊天可向本地及海外監管機構或稅務機關披露、呈交或提供本人的個人資料以確立本人於任何司法管轄區的稅務責任。

I acknowledge and undertake to promptly notify Hao Tian in writing within 30 days of any change on my status on US taxes obligations and to provide further information as Hao Tian may require.

若本人的美國稅務責任狀況有任何更改或昊天要求本人提供額外資料時，本人理解及同意於 30 日內以書面通知昊天及提供有關資料。

I acknowledge that I **have** US tax obligations.

本人確認**有**美國稅務責任。

Please provide U.S. IRS Form W-9.

請提供美國國家稅務局 W-9 表格。

I declare, all information provided from Item 1 to Item 12 in this form that is true, correct and complete.

本人聲明， 本人在本表格內提供的由第 1 項至 9 項所有資料和聲明均屬真實、正確和完備。

Client Signature 客戶簽署

(Joint Account Secondary Holders): (聯名賬戶第二持有人)

Client Name 客戶姓名

Date 日期: