民眾證券
FREEMAN SECURITIES

AE Code: ________________ A/C Number: ______________

☐ INDIVIDUAL ACCOUNT 個人賬戶
☐ JOINT ACCOUNT 聯名賬戶 (_____ of ________)
(For joint account, please use separate Client Information Statement for each joint account holder. 每一聯名賬戶持有人都須分別填寫一份客戶資料表)

CLIENT INFORMATION STATEMENT 客戶資料表

1. Personal Data 個人資料

Name of Client 客戶名稱: (English 英文)		(Chinese 中文)	
Date of Birth (dd/mm/yyyy) 出生日期: (日月年)	**ID / Passport No.** 身份證／護照號碼:	**Nationality** 國藉:	**Gender** 性別:
Home Address 住宅地址::			(Postal Code 郵編:)
Home Phone No.住宅電話: ( )	**Mobile Phone No.** 手機電話: ( )	**Office Phone No.** 公司電話: ( )	**Fax No.** 傳真號碼: ( )
Office Address 公司地址:			(Postal Code 郵編:)
Correspondence Address 通訊地址:	☐ Home Address 住宅地址 ☐ Others (Please specify) 其他 (請註明)	☐ Company Address 公司地址	(Postal Code 郵編:)
E-mail Address 電郵地址:			

Method of both Daily and Monthly Account Statement Collection (Please check one)
戶口日結單及月結收取方式（請選擇一項）:
☐ By Email to the E-mail Address 電郵至電郵地址
☐ By post to the Correspondence Address (HKD 200/month) 郵寄至通訊地址 (每月收費港幣 200 元)

Designated Bank Account 指定銀行戶口 Bank Name 銀行名稱: Bank Account No. 銀行戶口號碼:

2. Financial Summary 財務資料簡要

Name of Employer 僱主名稱:	**Occupation** 行業:	**Position** 職位:	**Years in Occupation** 從業年數:

Residence 住屋:	☐ Self-owned 自置物業 ☐ Quarters 宿舍	☐ Mortgage 按揭物業 ☐ Living with family 與家人同住	☐ Rented 租用物業	
Annual Income 每年總收入:	☐ ≤ HK$ 200,000	☐ ≤ HK$ 200,001 – HK$ 499,999	☐ ≤ HK$ 500,000 – HK$ 999,999	☐ ≥ HK$ 1,000,000
Estimated Net Worth 淨資產值:	☐ ≤ HK$ 1,000,000	☐ ≤ HK$ 1,000,001 – HK$ 5,000,000	☐ ≥ HK$ 5,000,000	

3. Investment Experience and Objectives (Please check one or more) 投資經驗及目的（請選擇下列一項或多項）

Investment Experience 投資經驗: ☐ Nil 沒有 ☐ Stocks 證券 ☐ Warrants 認股證 ☐ Option 期權 ☐ Futures 期貨 ☐ FX 外匯 ☐ Bullion 貴金屬

Years of Experience 投資經驗年資: ☐ Nil 沒有 ☐ 0-1 year 少於一年 ☐ 1-3 years 一至三年 ☐ 3-5 years 三至五年 ☐ 5-10 years 五至十年 ☐ Over 10 years 超過十年

Investment objective 投資目的: ☐ Capital Appreciation 資本增長 ☐ Hedging 對沖 ☐ Dividend Yield 定期收入 ☐ Speculation 投機 ☐ Others 其他:

Knowledge of Derivative 衍生工具知識:

I have undergone training / attended courses offered by academic or financial institutions on derivative and/or structured products and I am fully aware of the nature and risks of this kind of investment products.
本人已經接受/參加由學術或金融機構所提供有關衍生工具及/或結構性產品的培訓/課程，而本人亦完全了解此等產品的性質和風險。 ☐ No 不是 ☐ Yes 是

I possess more than 1 year working experience related to derivative and/or structured products.
本人擁有一年以上有關衍生工具及/或結構性產品的工作經驗。 ☐ No 不是 ☐ Yes 是

In the past 3 years, I have executed 5 or more transactions relating to derivative and/or structures products.
在過去三年中，本人曾執行過五宗或以上有關衍生工具及/或結構性產品的交易。 ☐ No 不是 ☐ Yes 是

4. Identity of the ultimate beneficial owner(s) of the Account 賬戶最終權益擁有人身份

☐ The Client 客戶本人 ☐ Others 其他 (Please specify 請註明):

Name 名稱: ID / Passport No. 身份證 / 護照號碼:

Nationality 國籍: Phone No.電話號碼: ( )

Home Address 住宅地址：

5. Identity of the person(s) ultimately responsible for giving instructions in relation to transactions for the Account 此賬戶最終負責發出交易指示人士身份

☐ The Client 客戶本人 ☐ Others 其他 (Please specify 請註明):

Name 名稱: ID / Passport No. 身份證 / 護照號碼:

Nationality 國籍: Phone No.電話號碼: ( )

Home Address 住宅地址：

6. Identity of the person(s) ultimately responsible for giving instructions in relation to transactions for the Account
此賬戶最終負責發出交易指示人士身份

(6(a) applicable to Securities and Futures / Options Trading Account Only) (6(a) 只適用證券及期貨／期權交易賬戶)

(a) Is the Client, the ultimate beneficial owner of the Account and/or the person ultimately responsible for giving instructions in relation to transactions for the Account ("Person") 客戶本人、此賬戶最終權益擁有人及／或此賬戶最終負責發出交易指示人士（「該人士」），是否:

(1) a SFC licensed / registered person 證監會持牌人／註冊人？

☐ No 不是 ☐ Yes 是: Name of the Person 該人士名稱:

(2) an employee / director (exclude non-executive directors) of any licensed/registered person 任何持牌人／註冊人的僱員／董事（非執行董事除外）？

☐ No 不是 ☐ Yes 是: Name of the Person 該人士名稱:

Name of licensed/registered person 持牌人／註冊人名稱:

(b) Please check "√" Yes or No for each of the following questions 請回答下列每條問題，於「是」或「不是」位置加上剔號:

Are you a U.S. tax resident*? 閣下是否美國納稅人*？ ☐ No 不是 ☐ Yes 是

Are you a U.S. citizen? 閣下是否美國公民？ ☐ No 不是 ☐ Yes 是

If you check "yes" or any of the questions (b)(1) or (b)(2) above, please complete Form W-9. 若閣下就上述 6(b)之任何一條問題回答「是」，請填寫 W-9 表格。

* U.S. tax residents include Green Card holder (i.e. holder of U.S. Permanent Resident card) as well as individual who meets the substantial presence test (i.e. he/she has been present in the U.S. for at least 183 days during a three year period (including current year)). Please seek advice from your tax advisor regarding the substantial presence test when necessary. 美國納稅人包括綠卡持有人（即美國永久居民卡）以及任何符合實質居所測試(substantial presence test)之人士（即該人士於過去 3 年內（包括本年）於美國居住至少 183 天。如有需要，請諮詢閣下的稅務顧問有關實質居所測試的意見。）

7. Related Account
關連賬戶

Now or within the preceding 12 months, is the Client, the ultimate beneficial owner of the Account and/or the person ultimately responsible for giving Instructions in relation to transactions for the Account ("Related Person"), a director or senior executive officer of Freeman FinTech Corporation Limited and/or any of its subsidiaries ("Freeman FinTech Corporation Limited Companies")? Or have any relationship with such person? 客戶本人、此賬戶最終權益擁有人及／或此賬戶最終負責發出交易指示人士（「有關人士」），是否現在／在過去 12 個月內曾經是民眾金融科技控股有限公司及／或其附屬公司（「民眾金融科技控股有限公司」）的董事或高級行政人員？或與該等人士有親屬關係？

☐ No 不是 ☐ Yes 是: Name of the Relevant Person(s) 有關人士名稱:

Name of director(s) / senior executive officer(s) 董事／高級行政人員名稱:

Name of Freeman FinTech Corporation Limited Companies 民眾金融科技控股有限公司名稱:

Relationship 關係: or 或 ☐ Related person self 有關人士本人

8. Related Margin Account
關連保證金賬戶

Does your spouse have a margin account with Freeman Securities Limited? 閣下的配偶是否持有民眾證券有限公司的保證金證券賬戶？

☐ No 不是 ☐ Yes 是: Name of Spouse 配偶姓名:

Do you control, either alone or with your spouse, 35% or more of the voting rights of another margin client of Freeman Securities Limited? 閣下是否單獨或與配偶共同控制民眾證券有限公司其他保證金客戶之百分之三十五或以上的投票權？

☐ No 不是 ☐ Yes 是: Name of Spouse 配偶姓名:
Name of Relevant Company(ies) 有關公司名稱:

9. Declaration
聲明

I/We hereby acknowledge, agree, declare and confirm that:
本人／吾等謹此承認、同意、聲明及確認:

1. the personal data collected in this Client Information Statement (the "Statement") will be used by Freeman Securities Limited and/or Freeman Commodities Limited (as the case may be, the "Company") to process my/our application for any account(s) with the Company and/or any other purpose as set out in the Company´s Policy on Personal Data (the "Policy"); 民眾證券有限公司及／或民眾期貨有限公司（按情況而定「貴公司」）會將本客戶資料表（「本表格」）所收集的個人資料，用作處理本人／吾等於貴公司開立賬戶的申請及／或用於貴公司的個人資料政策（「該政策」）所指定的任何其他用途；
2. all items are mandatory items unless the relevant box is shaded. Failure to provide mandatory details will result in the Company being unable to process my/our application; 除了陰影方格的項目外，其餘所有項目必須提供。本人／吾等如不提供此等必要項目，會導致貴公司無法處理本人／吾等的申請；
3. a copy of the Policy has been provided to me/us and that the Policy is also available from the website of the Company. I/We confirm having read and understood the Policy and agree to my/our personal data being used by the Company in accordance with the Policy; 本人／吾等已收妥該政策之副本及該政策可於貴公司的網頁上瀏覽。本人／吾等確認已閱讀及明白該政策並同意貴公司可根據該政策使用本人／吾等的個人資料；
4. the information and declarations provided to me/us to the Company in this Statement are true, accurate and complete and I/we undertake to immediately inform the Company in writing of any changes to the same; 本人／吾等在本表格中向貴公司提供的資料及聲明全部真實、準確及完整，並承諾會立即以書面通知貴公司任何更改；
5. the Company is entitled to reply fully on such information and declarations for all purpose, unless the Company receives notice in writing of any change. I/We authorize the Company, at any time, to contact anyone, including my/our banks, brokers or any credit agency, for the purpose of verifying the information provided herein. 除非貴公司收到更改有關客戶資料表內資料及聲明的書面通知，否則貴公司有權完全依賴此等資料及聲明作一切用途。本人／吾等授權貴公司可隨時就核對此等資料，與任何人士包括本人／吾等的銀行、經紀或任何信用機構進行諮詢；
6. the Company would not use my/our personal data in direct marketing without my/our consent. If I/we do not tick ("√") the box below, my/our signing of this Statement gives consent to the Company to use my/our personal data in direct marketing as set out in the Policy. 未經本人／吾等同意，貴公司不會將本人／吾等的個人資料用於直接促銷。若本人／吾等未有於下列方格加上剔號（"√"），本人／吾等簽署本表格即表明本人／吾等同意貴公司可將本人／吾等的個人資料用於該政策中載列之直接促銷。

   ☐ I/We do not wish the Company to use my/our personal data in direct marketing / do not want to receive any direct marketing materials or messages from the Company. 本人／吾等不希望貴公司把本人／吾等的個人資料用於直接促銷或接受貴公司發出的任何直接促銷資料或訊息。

I/We understand and confirm that the above represents my/our present choice whether or not to receive direct marketing materials contact or information. This replaces any choice previously communicated by me/us to the Company.
本人／吾等明白並確認以上代表本人／吾等目前就是否希望收到直接促銷聯繫或資訊的選擇，並取代本人／吾等先前向貴公司傳達的任何選擇。

Client's Signature 客戶簽署	**Date 日期:**
	dd日/mm月/yyyy年

For Internal Use Only 只供內部使用						
Handled By	Doc Checked & A/C# Issued By	Input By	Specimen Scanned By	Password Sent By	Date Checked By	Approved By
Date	Date	Date	Date	Date	Date	Date

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