



南華證券投資有限公司 South China Securities Limited  
南華期貨有限公司 South China Commodities Limited  
南華投資管理有限公司 South China Investment Management Limited

AE Code  
經紀號碼

申請日期 Application Date: \_\_\_\_\_

## 賬戶重啟申請表格 Account Reactivation Request Form

- ☐ 南華證券投資有限公司 South China Securities Limited ☐ 南華投資管理有限公司 South China Investment Management Limited  
☐ 南華期貨有限公司 South China Commodities Limited

指示：如客戶資料不需要更新，請於第一和三部份方格內填上☑並於本表格底部簽署作實。如客戶資料需要更新，請於第二和三部份方格內填上☑及於本表格底部簽署作實，並填寫及簽署客戶資料更新表格。Instructions: If the Client's information remains unchanged, please fill in ☑ in Part 1&3 and indicate your signature at the bottom of this Form. If the Client information is required to update, please fill in ☑ in Part 2&3, complete and sign Client Information Update Form.

客戶名稱:

Name of Client: \_\_\_\_\_

賬戶號碼:

Account No: \_\_\_\_\_

### ☐ 第一部份 Part 1

客戶茲聲明所有記載於其客戶資料表格內之資料(包括但不限於 (i)個人資料;(ii)通訊地址;(iii)聯絡電話;(iv)電子郵件;(v)工作及/或職業性質;(vi)財務狀況;(vii)預計每月交易概況;(viii)身份聲明;及/或(ix)相關保證金賬戶(只適用於保證金賬戶))均為現時客戶之狀況。客戶同意除非本公司接到更改有關聲明內容的書面通知，否則本公司有權在任何用途上完全依賴這些資料及聲明。客戶同時承諾若其資料有任何更改，會以書面通知本公司。客戶同時宣稱客戶本人是該賬戶的最終受益擁有人。

本公司有絕對權利不時修訂、刪除、或取替客戶協議內的任何條款或增加新條款，並把修訂通知及修改後之客戶協議刊載於本公司網站 [www.sctrade.com](http://www.sctrade.com) 內。本公司會通知客戶新的修訂，而客戶可不時登入本公司網站以獲得最新之客戶協議並需細閱其條款。該修訂、刪除、取替或增加的條款將於本公司網站刊載修訂通知當日生效，並被視為納入客戶協議內。客戶可於修訂通知在本公司網站上刊載當日後十四天內以書面向本公司提出反對。否則被視為接受該修訂、刪除、取替或增加的條款。

The Client hereby declares that the contents and information contained in his/her Client Information Statement (including but not limited to (i) Personal Information; (ii) Mailing Address; (iii) Contact Phone Number(s); (iv) E-mail Address; (v) Work and/or Occupation Nature; (vi) Financial Background; (vii) Anticipated Level of Investments per Month; (viii) Identity Declaration; and/or (ix) Related Margin Financing Account(s) (Note: For Margin Account only)) represents the Client's present status. The Client agrees that our company is entitled to rely entirely upon such contents information and representations for all purpose, unless our company receives notice in writing from the Client of any change thereof. The Client also hereby undertakes to notify our company in writing forthwith upon any material change(s) in the information provided herein. The Client also declares that he/she is the ultimate beneficial owner of the account.

Our company shall have absolute rights to amend, delete or substitute any of the terms herein or add new terms to the Client's Agreement. An amendment notice and the revised Client's Agreement will be posted at our company's website at [www.sctrade.com](http://www.sctrade.com). In addition, our company will notify the Client on such revision. The Client should visit our company's website from time to time for obtaining the latest Client's Agreement and read the terms thereof. Such amendment, deletion, substitution or addition shall be deemed as effective and incorporated herein (and shall form part of the Client's Agreement) on the date of publication of such amendment notice. The Client may raise written objection within fourteen (14) days after the publication of such amendment notice at our company's website. Failing which, shall be deemed as an acceptance of such amendment, deletion, substitution or addition.

### ☐ 第二部份 Part 2

客戶茲聲明所有記載於其客戶資料表格內之資料(包括但不限於 (i)個人資料;(ii)通訊地址;(iii)聯絡電話;(iv)電子郵件;(v)工作及/或職業性質;(vi)財務狀況;(vii)預計每月交易概況;(viii)身份聲明;及/或(ix)相關保證金賬戶(只適用於保證金賬戶))有所改變，並且需要根據客戶資料更新表格內容作出更新。

The Client hereby declares that the contents and information contained in his/her Client Information Statement (including but not limited to (i) Personal Information; (ii) Mailing Address; (iii) Contact Phone Number(s); (iv) E-mail Address; (v) Work and/or Occupation Nature; (vi) Financial Background; (vii) Anticipated Level of Investments per Month; (viii) Identity Declaration; and/or (ix) Related Margin Financing Account(s) (Note: For Margin Account only)) have changed and needs to be updated according to the Client Information Update Form.

### ☐ 第三部份 Part 3

稅務資料 Tax Information	稅務居住地* Tax Residency*	
	稅務編號 TIN	
	閣下是美國公民，綠卡持有人或居於美國 Are you a U.S. citizen, a green card holder or residing in the U.S?	<input type="checkbox"/> 是 Yes # <input type="checkbox"/> 否 No

客戶茲同意如上述資料有任何改變，會立即（在任何情況下，在 30 天內）通知南華證券投資有限公司，南華期貨有限公司，南華投資管理有限公司，以及其控股公司、附屬公司、相聯公司、關聯公司及 或合作夥伴（以下皆統稱為「南華集團」）。如上述 南華集團 要求，客戶亦會盡快（在任何情況下，在 30 天內）向 南華集團 提供所需的額外文件，包括但不限於更新資料變更後的自我證明。如客戶未能在指定時間內提供所需的額外文件，客戶明白 南華集團 可能根據有關的資料變更向相關司法管轄區內的合資格監管及 或政府當局（包括但不限於美國國家稅務局、美國財政部和香港稅務局）披露及 或提交客戶之相關賬戶資料，以符合 FATCA、《共同匯報標準條例》和其他相關法規、守則和規則的規定。

The Client hereby undertakes to notify South China Securities Limited, South China Commodities Limited, South China Investment Management Limited and the respective holding companies, subsidiary companies, associated companies and affiliated companies (individually or collectively referred to as "South China Group") immediately (in any event, within 30 days) of any changes to the information given above. Upon request, He/she shall also promptly (in any event, within 30 days) provide South China Group any additional documentation, including without limitation to the self-certification, in relation to the changes to such information. If the additional documentation is not provided timely, he/she understands that South China Group may disclose and/or submit certain of my/our account information in relation to the changes to the competent regulatory or Government Authority in the relevant jurisdiction(s) (including without limitation to U.S. Internal Revenue Service, U.S. Department of the Treasury and the Hong Kong Inland Revenue Department) for the purpose of complying with FATCA, Common Reporting Standard and other related laws, regulations, codes and rules.

客戶簽署 Client's Signature:

日期 Date:

只供本行使用 Office Use Only

A.E Signature: \_\_\_\_\_

Department Head Signature: \_\_\_\_\_

Client's information checked by: \_\_\_\_\_

Credit Manager Signature: \_\_\_\_\_

\*稅務居住地是指擁有稅務居民身份的地方。如賬戶持有人是香港稅務居民，稅務編號是其香港身份證號碼。如賬戶持有人是中國稅務居民，稅務編號是其中國公民身份證號碼。  
Tax Residency refers to the resident for tax purpose s. If the account holder is a tax resident of HKSAR, the TIN is the HKID Number. If the account holder is a tax resident of PRC, the TIN is the PRC Identity Card Number.

#請填寫 W 9 表格若賬戶持有人是美國公民，綠卡持有人或居於美國。W 9 form should be filled in if the account holder is a U.S. citizen, a green card holder or residing in the U.S.

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