



南華證券投資有限公司  
South China Securities Limited  
C.E. No : AAA874

南華期貨有限公司  
South China Commodities Limited  
C.E. No : AAF640

Account No.  
賬戶號碼  
AE Code  
經紀號碼

## ACCOUNT OPENING FORM 開戶表格

( Individual 個人 /  Joint 聯名)

### Part 1 – Account Type | 第一部分 – 帳戶類別

Company 公司	Type of Account 帳戶種類	
South China Securities Ltd (“SCSL”) 南華證券投資有限公司 (“南華證券”)	<input type="checkbox"/> Cash Account 現金帳戶	<input type="checkbox"/> Cash Account (Online Trading Service) 現金帳戶 (網上交易服務)
	<input type="checkbox"/> Margin Account 保證金帳戶	<input type="checkbox"/> Margin Account (Online Trading Service) 保證金帳戶 (網上交易服務)
	<input type="checkbox"/> Stock Options Account 股票期權帳戶	<input type="checkbox"/> Stock Options Account (Online Trading Service) 股 票期權帳戶 (網上交易服務)
	<input type="checkbox"/> Global Markets Trading Account 國際市場交易帳戶 (HK stocks account opening required) (需同時開立港股帳戶) <input type="checkbox"/> US Market 美股* <input type="checkbox"/> Australian Market 澳洲股 <input type="checkbox"/> Singaporean Market 新加坡股 <input type="checkbox"/> Shanghai HK Stock Connect 滬港通 <input type="checkbox"/> Shenzhen HK Stock Connect 深港通	
South China Commodities Ltd (“SCCL”) 南華期貨有限公司 (“南華期貨”)	<input type="checkbox"/> Commodities Account 期貨帳戶	<input type="checkbox"/> Commodities Account (Online Trading Service) 期貨帳戶 (網上交易服務)
	<input type="checkbox"/> Global Futures Account* 國際期貨帳戶*	<input type="checkbox"/> Global Futures Account (Online Trading Service)* 國際期貨帳戶 (網上交易服務)*

\*Remarks: W-8BEN form should be filled in when opening Global Futures Account and/or US Stocks Trading Account. 若開立美股及/或國際期貨帳戶，請填寫W-8BEN表格。

### Part 2 – Clients Details | 第二部分 – 客戶資料

	Account Holder (1) 帳戶持有人(1)				Account Holder (2) 帳戶持有人(2)			
Name of Client 客戶名稱	Last name 姓				Last name 姓			
	Given Name 名				Given Name 名			
	Chinese name 中文姓名				Chinese name 中文姓名			
Relationship with Account Holder (1) 與帳戶持有人(1)的關係					<input type="checkbox"/> Immediate Family 直系親屬 _____ <input type="checkbox"/> Relatives 親屬 <input type="checkbox"/> Friends 朋友 <input type="checkbox"/> Others, please specify 其他, 請註明 _____			
Personal Details 個人資料	Date of Birth 出生日期		yyyy / mm / dd		Date of Birth 出生日期		yyyy / mm / dd	
	Gender 性別	<input type="checkbox"/> M 男 <input type="checkbox"/> F 女	Marital Status 婚姻狀況	<input type="checkbox"/> Single 未婚 <input type="checkbox"/> Married 已婚 <input type="checkbox"/> Others 其他	Gender 性別	<input type="checkbox"/> M 男 <input type="checkbox"/> F 女	Marital Status 婚姻狀況	<input type="checkbox"/> Single 未婚 <input type="checkbox"/> Married 已婚 <input type="checkbox"/> Others 其他
	Education Level 教育程度		<input type="checkbox"/> Primary or below 小學或以下 <input type="checkbox"/> Secondary 中學 <input type="checkbox"/> Post-secondary 大專或以上		Education Level 教育程度		<input type="checkbox"/> Primary or below 小學或以下 <input type="checkbox"/> Secondary 中學 <input type="checkbox"/> Post-secondary 大專或以上	
	Nationality 國籍				Nationality 國籍			
ID Type and No. 身份證明文件類別及號碼	Type 類別	<input type="checkbox"/> ID 身份證 <input type="checkbox"/> Passport 護照		Type 類別	<input type="checkbox"/> ID 身份證 <input type="checkbox"/> Passport 護照			
	No. 號碼			No. 號碼				
Tax Information 稅務資料	Tax Residency * 稅務居住地*				Tax Residency * 稅務居住地*			
	TIN 稅務編號				TIN 稅務編號			
	Are you a U.S. citizen, a green card holder or residing in the U.S? 閣下是美國公民，綠卡持有人或居於美國？		<input type="checkbox"/> Yes 是# <input type="checkbox"/> No 否		Are you a U.S. citizen, a green card holder or residing in the U.S? 閣下是美國公民，綠卡持有人或居於美國？		<input type="checkbox"/> Yes 是# <input type="checkbox"/> No 否	

\*Tax Residency refers to the resident for tax purposes. 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. 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。

# 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. 若賬戶持有人是美國公民，綠卡持有人或居於美國，請填寫W-9表格。

**Part 3 – Designated Bank Account | 第三部分 – 指定銀行戶口**

Bank Account (1) 銀行戶口 (1)		Bank Account (2) 銀行戶口 (2)	
Currency 貨幣		Currency 貨幣	
Bank Name 銀行名稱		Bank Name 銀行名稱	
Account No. 賬戶號碼		Account No. 賬戶號碼	

**Part 4 – Contact Information | 第四部分 – 通訊資料**

Account Holder (1) 帳戶持有人(1)		Account Holder (2) 帳戶持有人(2)	
Residential Address 住宅地址	_____ _____ _____	Residential Address 住宅地址	_____ _____ _____
Mailing Address 通訊地址	<input type="checkbox"/> Same as the above 如上所述一致 <input type="checkbox"/> Others, please specify 其他, 請說明: _____ _____ _____	Mailing Address 通訊地址	<input type="checkbox"/> Same as the above 如上所述一致 <input type="checkbox"/> Others, please specify 其他, 請說明: _____ _____ _____
Email Address 電郵地址		Email Address 電郵地址	
Method of Account Statement (please choose one only) 戶口結單收取方式 (只可選擇一項)	<input type="checkbox"/> Residential Address 住宅地址 <input type="checkbox"/> Mailing Address 通訊地址 <input type="checkbox"/> Email Address 電郵地址	Method of Account Statement (please choose one only) 戶口結單收取方式 (只可選擇一項)	<input type="checkbox"/> Residential Address 住宅地址 <input type="checkbox"/> Mailing Address 通訊地址 <input type="checkbox"/> Email Address 電郵地址
Home Telephone No. 住宅電話號碼	(      )	Home Telephone No. 住宅電話號碼	(      )
Mobile Phone No. 手提電話號碼	(      )	Mobile Phone No. 手提電話號碼	(      )
Receive Trade Confirmation via SMS* 以手機短訊收取交易確認*	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	Receive Trade Confirmation via SMS* 以手機短訊收取交易確認*	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否

\* Overseas telephone number is not accepted for receiving trade confirmation via SMS. Commodities transactions do not support trade confirmation via SMS.  
海外電話號碼不接受通過短訊接收交易確認。期貨交易不支援通過短訊接收交易確認。

**Part 5 – Work Information | 第五部分 – 工作資料**

Account Holder (1) 帳戶持有人(1)		Account Holder (2) 帳戶持有人(2)	
Name of Employer 僱主名稱		Name of Employer 僱主名稱	
Occupation 職業		Occupation 職業	
Position 職位		Position 職位	
Year(s) Employed 任職年期		Year(s) Employed 任職年期	
Work address 工作地址	_____ _____ _____	Work address 工作地址	_____ _____ _____

**Part 6 – Financial Information | 第六部分 – 財務資料**

Account Holder (1) 帳戶持有人(1)		Account Holder (2) 帳戶持有人(2)	
Estimated Annual Income 估計年薪	<input type="checkbox"/> <HK\$200,000 <input type="checkbox"/> HK\$200,000 - HK\$500,000 <input type="checkbox"/> HK\$500,001 - HK\$1,000,000 <input type="checkbox"/> HK\$1,000,001 - HK\$5,000,000 <input type="checkbox"/> > HK\$5,000,001	Estimated Annual Income 估計年薪	<input type="checkbox"/> <HK\$200,000 <input type="checkbox"/> HK\$200,000 - HK\$500,000 <input type="checkbox"/> HK\$500,001 - HK\$1,000,000 <input type="checkbox"/> HK\$1,000,001 - HK\$5,000,000 <input type="checkbox"/> > HK\$5,000,001
Estimated Liquid Net Worth 估計淨資產	<input type="checkbox"/> <HK\$200,000 <input type="checkbox"/> HK\$200,000 - HK\$500,000 <input type="checkbox"/> HK\$500,001 - HK\$1,000,000 <input type="checkbox"/> HK\$1,000,001 - HK\$5,000,000 <input type="checkbox"/> > HK\$5,000,001	Estimated Liquid Net Worth 估計淨資產	<input type="checkbox"/> <HK\$200,000 <input type="checkbox"/> HK\$200,000 - HK\$500,000 <input type="checkbox"/> HK\$500,001 - HK\$1,000,000 <input type="checkbox"/> HK\$1,000,001 - HK\$5,000,000 <input type="checkbox"/> > HK\$5,000,001
Residence 住屋	<input type="checkbox"/> Self-owned 自置物業 <input type="checkbox"/> Mortgage 按揭物業 <input type="checkbox"/> Rented 租用物業 <input type="checkbox"/> Living with Family 與家人同住	Residence 住屋	<input type="checkbox"/> Self-owned 自置物業 <input type="checkbox"/> Mortgage 按揭物業 <input type="checkbox"/> Rented 租用物業 <input type="checkbox"/> Living with Family 與家人同住
Source of Fund 資金來源	<input type="checkbox"/> Salary/ Commission 薪金/ 佣金 <input type="checkbox"/> Savings 儲蓄 <input type="checkbox"/> Investment Income 投資獲利 <input type="checkbox"/> Sale of Real Estate 售出物業 <input type="checkbox"/> Own Business 個人業務 <input type="checkbox"/> Others 其他: _____	Source of Fund 資金來源	<input type="checkbox"/> Salary/ Commission 薪金/ 佣金 <input type="checkbox"/> Savings 儲蓄 <input type="checkbox"/> Investment Income 投資獲利 <input type="checkbox"/> Sale of Real Estate 售出物業 <input type="checkbox"/> Own Business 個人業務 <input type="checkbox"/> Others 其他: _____
Source of Wealth 財富來源	<input type="checkbox"/> Business Income 個人業務收益 <input type="checkbox"/> Salary/ Pension 薪金/退休金 <input type="checkbox"/> Investment Income 投資獲利 <input type="checkbox"/> Inheritance/ Gift 遺囑繼承/饋贈 <input type="checkbox"/> Others 其他: _____	Source of Wealth 財富來源	<input type="checkbox"/> Business Income 個人業務收益 <input type="checkbox"/> Salary/ Pension 薪金/退休金 <input type="checkbox"/> Investment Income 投資獲利 <input type="checkbox"/> Inheritance/ Gift 遺囑繼承/饋贈 <input type="checkbox"/> Others 其他: _____
Source of Property 財產來源	<input type="checkbox"/> HKSAR 香港特別行政區 <input type="checkbox"/> China 中國 <input type="checkbox"/> Others 其他: _____	Source of Property 財產來源	<input type="checkbox"/> HKSAR 香港特別行政區 <input type="checkbox"/> China 中國 <input type="checkbox"/> Others 其他: _____

**Part 7 – Investment Experience and Objectives | 第七部分 – 投資經驗及目的**

Account Holder (1) 帳戶持有人(1)		Account Holder (2) 帳戶持有人(2)	
Years of Investment Experience 投資經驗年資	<input type="checkbox"/> Nil 沒有 <input type="checkbox"/> Stocks 股票 _____ years 年 <input type="checkbox"/> Options 期權 _____ years 年 <input type="checkbox"/> Futures 期貨 _____ years 年 <input type="checkbox"/> Leveraged Foreign Exchange 槓桿外匯 _____ years 年 <input type="checkbox"/> Derivative Products 衍生產品 _____ years 年 <input type="checkbox"/> Others 其他: _____ years 年	Years of Investment Experience 投資經驗年資	<input type="checkbox"/> Nil 沒有 <input type="checkbox"/> Stocks 股票 _____ years 年 <input type="checkbox"/> Options 期權 _____ years 年 <input type="checkbox"/> Futures 期貨 _____ years 年 <input type="checkbox"/> Leveraged Foreign Exchange 槓桿外匯 _____ years 年 <input type="checkbox"/> Derivative Products 衍生產品 _____ years 年 <input type="checkbox"/> Others 其他: _____ years 年
Investment Objectives 投資目的	<input type="checkbox"/> Capital Investment 資本投資 <input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Speculation 投機 <input type="checkbox"/> Dividend/ Interest Income 股息/利息收入 <input type="checkbox"/> Others 其他: _____	Investment Objectives 投資目的	<input type="checkbox"/> Capital Investment 資本投資 <input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Speculation 投機 <input type="checkbox"/> Dividend/ Interest Income 股息/利息收入 <input type="checkbox"/> Others 其他: _____
Risk Categories (please choose one only) 風險類別 (只可選擇一項)	<input type="checkbox"/> Conservative 穩健 <input type="checkbox"/> Moderate 中度 <input type="checkbox"/> Balanced 均衡 <input type="checkbox"/> Growth 增長 <input type="checkbox"/> Aggressive 進取	Risk Categories (please choose one only) 風險類別 (只可選擇一項)	<input type="checkbox"/> Conservative 穩健 <input type="checkbox"/> Moderate 中度 <input type="checkbox"/> Balanced 均衡 <input type="checkbox"/> Growth 增長 <input type="checkbox"/> Aggressive 進取

**Part 8 – Anticipated Level of Investments per Month | 第八部分 – 預計每月交易概況**

Account Holder (1) 帳戶持有人(1)		Account Holder (2) 帳戶持有人(2)	
Anticipated Investment Products 預計投資產品	<input type="checkbox"/> Stocks 股票 <input type="checkbox"/> Options 期權 <input type="checkbox"/> Futures 期貨 <input type="checkbox"/> Derivative Products 衍生產品 <input type="checkbox"/> Bond/ Fund 債券/ 基金 <input type="checkbox"/> Others 其他: _____	Anticipated Investment Products 預計投資產品	<input type="checkbox"/> Stocks 股票 <input type="checkbox"/> Options 期權 <input type="checkbox"/> Futures 期貨 <input type="checkbox"/> Derivative Products 衍生產品 <input type="checkbox"/> Bond/ Fund 債券/ 基金 <input type="checkbox"/> Others 其他: _____

Account Holder (1) 帳戶持有人(1)		Account Holder (2) 帳戶持有人(2)	
Anticipated Number of Transactions Per Month 預計每月交易次數	<input type="checkbox"/> <20 <input type="checkbox"/> 20 – 50 <input type="checkbox"/> >50	Anticipated Number of Transactions Per Month 預計每月交易次數	<input type="checkbox"/> <20 <input type="checkbox"/> 20 – 50 <input type="checkbox"/> >50
Anticipated Amount of Transactions Per Month 預計每月交易金額	<input type="checkbox"/> < HK\$ 50,000 <input type="checkbox"/> HK\$50,001 – HK\$100,000 <input type="checkbox"/> HK\$ 100,001 – HK\$250,000 <input type="checkbox"/> HK\$ 250,001 – HK\$500,000 <input type="checkbox"/> HK\$500,001 – HK\$2,000,000 <input type="checkbox"/> > HK\$2,000,001	Anticipated Amount of Transactions Per Month 預計每月交易金額	<input type="checkbox"/> < HK\$ 50,000 <input type="checkbox"/> HK\$50,001 – HK\$100,000 <input type="checkbox"/> HK\$ 100,001 – HK\$250,000 <input type="checkbox"/> HK\$ 250,001 – HK\$500,000 <input type="checkbox"/> HK\$500,001 – HK\$2,000,000 <input type="checkbox"/> > HK\$2,000,001

### Part 9 – Knowledge of Derivatives | 第九部分 – 對衍生產品的認識

Account Holder (1) 帳戶持有人(1)		Account Holder (2) 帳戶持有人(2)	
Do you have knowledge on derivative products? 閣下對衍生產品可有認識?	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	Do you have knowledge on derivative products? 閣下對衍生產品可有認識?	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
Have you ever attended any courses or seminars on derivative product(s)? 閣下曾否接受有關衍生產品的培訓或相關課程?	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	Have you ever attended any courses or seminars on derivative product(s)? 閣下曾否接受有關衍生產品的培訓或相關課程?	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
Does your current or previous work experience related to derivative products? 閣下現時或過往的工作經驗與衍生產品有關?	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	Does your current or previous work experience related to derivative products? 閣下現時或過往的工作經驗與衍生產品有關?	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
Have you executed 5 or more transactions within the past 3 years in derivative products? 閣下曾否於過去 3 年執行 5 次或以上有關衍生產品的交易?	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	Have you executed 5 or more transactions within the past 3 years in derivative products? 閣下是否於過去 3 年曾執行 5 次或以上有關衍生產品的交易?	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
I acknowledged the receipt of the Risk Disclosure Statement and fully understand the relevant risks associated with the exchange traded derivative products as described. 本人確認已獲得風險披露聲明及已完全了解有關投資交易所買賣的衍生產品之相關風險。	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	I acknowledged the receipt of the Risk Disclosure Statement and fully understand the relevant risks associated with the exchange traded derivative products as described. 本人確認已獲得風險披露聲明及已完全了解有關投資交易所買賣的衍生產品之相關風險。	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
SCSL and SCCL have assessed me based on the information provided above, and have notified me that it is compulsory to understand the nature and risks associated with derivative products before trading. 南華證券和南華期貨已根據以上的資料對本人進行評估，並已通知客戶買賣有關衍生產品前必須先具備足夠的認識，及提示客戶有關衍生產品之性質及風險。	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	SCSL and SCCL have assessed me based on the information provided above, and have notified me that it is compulsory to understand the nature and risks associated with derivative products before trading. 南華證券和南華期貨已根據以上的資料對本人進行評估，並已通知客戶買賣有關衍生產品前必須先具備足夠的認識，及提示客戶有關衍生產品之性質及風險。	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否

\* New Commodities Clients are required to provide previous futures brokers' statement or pass the futures knowledge quiz designed by South China Group. 新開期貨客戶需提供前期貨經紀商發出之結單或通過南華集團期貨知識考核問卷。

### Part 10 – Disclosure of Information | 第十部分 – 資料披露

Account Holder (1) 帳戶持有人(1)		Account Holder (2) 帳戶持有人(2)	
Identity of the Ultimate Beneficial Owner (s) of the Account 賬戶最終權益擁有人的身份	<input type="checkbox"/> The Client 客戶本人 <input type="checkbox"/> Others 其他 Name 姓名: _____ HKID/ Passport No. 香港身份證 / 護照號碼 Residential Address 住宅地址: _____ _____ _____	Identity of the Ultimate Beneficial Owner (s) of the Account 賬戶最終權益擁有人的身份	<input type="checkbox"/> The Client 客戶本人 <input type="checkbox"/> Others 其他 Name 姓名: _____ HKID/ Passport No. 香港身份證 / 護照號碼 Residential Address 住宅地址: _____ _____ _____
Other Accounts with South China 與南華之其他賬戶	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 Account Name 賬戶名稱: _____ Account No. 賬戶號碼: _____	Other Accounts with South China 與南華之其他賬戶	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 Account Name 賬戶名稱: _____ Account No. 賬戶號碼: _____

Account Holder (1) 帳戶持有人(1)		Account Holder (2) 帳戶持有人(2)	
<p>Are you an agent, officer or employee of any exchange, board of trade, clearing house, bank or trust company; or an affiliate of any introducing broker, or an officer, partner, director or employee of any securities broker, futures broker or licensed corporation? 閣下是否任何交易所、交易委員會、結算所、銀行或信託公司代理人、高級人員、員工；或任何引薦經紀的聯屬人；或任何證券經紀、期貨經紀或持牌法團的高級人員、合夥人、董事或員工？</p>	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 Here enclosed the consent letter from my employer 謹附上現任僱主同意書	<p>Are you an agent, officer or employee of any exchange, board of trade, clearing house, bank or trust company; or an affiliate of any introducing broker, or an officer, partner, director or employee of any securities broker, futures broker or licensed corporation? 閣下是否任何交易所、交易委員會、結算所、銀行或信託公司代理人、高級人員、員工；或任何引薦經紀的聯屬人；或任何證券經紀、期貨經紀或持牌法團的高級人員、合夥人、董事或員工？</p>	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 Here enclosed the consent letter from my employer 謹附上現任僱主同意書
<p>Is you or your Close Associate entrusted or has been entrusted with a prominent public function, including a head of state, head of government, judicial or military official, senior executive of a state-owned corporation and important political official? 閣下、閣下之配偶、伴侶、子女或父母，或閣下的子女的配偶或伴侶，或與閣下關係親密的人，是否擔任或曾擔任重要公職，包括國家元首、政府首長、資深從政者、高級政府、司法或軍事官員、國有企業高級行政人員及重要政黨幹事？</p>	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 Please specify 請說明： _____ _____ _____	<p>Is you or your Close Associate entrusted or has been entrusted with a prominent public function, including a head of state, head of government, judicial or military official, senior executive of a state-owned corporation and important political official? 閣下、閣下之配偶、伴侶、子女或父母，或閣下的子女的配偶或伴侶，或與閣下關係親密的人，是否擔任或曾擔任重要公職，包括國家元首、政府首長、資深從政者、高級政府、司法或軍事官員、國有企業高級行政人員及重要政黨幹事？</p>	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 Please specify 請說明： _____ _____ _____

**Part 11 – Margin Account Customer Disclosure of Information | 第十一部分 – 保證金戶口客戶資料披露**

Account Holder (1) 帳戶持有人(1)		Account Holder (2) 帳戶持有人(2)	
<p>Is your Spouse a Margin Client of South China Securities Limited? 閣下的配偶是否南華證券的保證金客戶？</p>	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 Account Name 賬戶名稱： _____ Account No. 賬戶號碼： _____	<p>Is your Spouse a Margin Client of South China Securities Limited? 閣下的配偶是否南華證券的保證金客戶？</p>	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 Account Name 賬戶名稱： _____ Account No. 賬戶號碼： _____
<p>Are you, either Alone with your Spouse, in Control of 35% or more of the Voting Rights of any Corporate Margin Client of South China Securities Limited? 閣下是否個人或與閣下的配偶共同控制任何南華證券的公司保證金客戶 35%或以上的投票權？</p>	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 Account Name 賬戶名稱： _____ Account No. 賬戶號碼： _____	<p>Are you, either Alone with your Spouse, in Control of 35% or more of the Voting Rights of any Corporate Margin Client of South China Securities Limited? 閣下是否個人或與閣下的配偶共同控制任何南華證券的公司保證金客戶 35%或以上的投票權？</p>	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 Account Name 賬戶名稱： _____ Account No. 賬戶號碼： _____
<p>Is any of your Group Company a Corporate Margin Client of South China Securities Limited? 閣下是否有任何集團公司為南華證券的公司保證金客戶？</p>	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 Account Name 賬戶名稱： _____ Account No. 賬戶號碼： _____	<p>Is any of your Group Company a Corporate Margin Client of South China Securities Limited? 閣下是否有任何集團公司為南華證券的公司保證金客戶？</p>	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 Account Name 賬戶名稱： _____ Account No. 賬戶號碼： _____
<p>Do you and another Margin Client of South China act on behalf of the same third party which the third party is not a Margin Client of South China but is the Ultimate Beneficial Owner of the Account? 閣下是否與南華證券的另一個保證金客戶共同為同一第三方行事，而該第三方不是南華證券保證金客戶，而是賬戶的最終受益人？</p>	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 Account Name 賬戶名稱： _____ Account No. 賬戶號碼： _____	<p>Do you and another Margin Client of South China act on behalf of the same third party which the third party is not a Margin Client of South China but is the Ultimate Beneficial Owner of the Account? 閣下是否與南華證券的另一個保證金客戶共同為同一第三方行事，而該第三方不是南華證券保證金客戶，而是賬戶的最終受益人？</p>	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 Account Name 賬戶名稱： _____ Account No. 賬戶號碼： _____

Account Holder (1) 帳戶持有人(1)		Account Holder (2) 帳戶持有人(2)	
<p>Do you act through another Margin Client of South China as an Ultimate Beneficial Owner of that Account; or does a Margin Client of South China act through your Account as an Ultimate Beneficial Owner of that Account? 閣下是否有通過南華證券的另一個保證金客戶作為該賬戶的最終受益所有人; 或是否有南華證券保證金客戶通過閣下的賬戶作為該賬戶的最終受益人?</p>	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 Account Name 賬戶名稱: _____  Account No. 賬戶號碼: _____  _____	<p>Do you act through another Margin Client of South China as an Ultimate Beneficial Owner of that Account; or does a Margin Client of South China act through your Account as an Ultimate Beneficial Owner of that Account? 閣下是否有通過南華證券的另一個保證金客戶作為該賬戶的最終受益所有人; 或是否有南華證券保證金客戶通過閣下的賬戶作為該賬戶的最終受益人?</p>	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 Account Name 賬戶名稱: _____  Account No. 賬戶號碼: _____  _____
<p>Do you and another Margin Client of South China being financially connected by guarantee arrangements? 閣下是否和南華證券的另一個保證金客戶通過擔保安排融資?</p>	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 Account Name 賬戶名稱: _____  Account No. 賬戶號碼: _____  _____	<p>Do you and another Margin Client of South China being financially connected by guarantee arrangements? 閣下是否和南華證券的另一個保證金客戶通過擔保安排融資?</p>	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 Account Name 賬戶名稱: _____  Account No. 賬戶號碼: _____  _____

## Part 12 – Operation of the Account | 第十二部分 – 賬戶操作

	Applicable to Individual Account only 只適用於個人賬戶	Applicable to Joint Account only 只適用於聯名賬戶
	<p><b>Person Ultimately Responsible for Originating Instructions</b> 帳戶最終負責發出指示的人士</p>	<input type="checkbox"/> Account Holder 賬戶持有人 <input type="checkbox"/> Authorise Additional Person to Operate the Account 授權其他人操作帳戶
	<p><b>Authorise Additional Person to Operate the Account 授權其他人操作帳戶</b>            *** Please provide certified ID/ Passport copy and address proof 請提供經過認證的身份證護照複印和地址證明</p> <p>Name 姓名: _____            HKID/ Passport No. 身份證 / 護照號碼: _____            Residential Address 住宅地址: _____            Mobile Phone No. 手提電話號碼: _____            Relationship with the Account Holder 與帳戶持有人之關係: _____            Reason for Authorising 授權原因: _____</p>	

## Part 13 – Use of Personal Information | 第十三部分 – 個人資料之使用聲明

I/We hereby agree with the "Personal Information Collection Statement" set out in Annex 1 to this Account Opening Agreement by South China Securities Limited and South China Commodities Limited to intend to use or transfer my/our personal information to your respective holding companies, subsidiary companies, associated companies, affiliated companies and/or your business partners (collectively referred to as "South China Group") in direct marketing in connection with: (i) Financial services and investment products; (ii) Related promotional schemes; (iii) Financial and investment advices; or (iv) Promotional and marketing events of South China Group for the aforesaid services or products. Such personal data includes my/our name(s), contact details, financial background and statistical data which are provided to South China Group under this Account Opening Form or obtained by South China Group from time to time. I/We understand that I/we may, at any time, require South China Group to cease to use or transfer within South China Group or to your holding companies, subsidiary companies, associated companies, affiliated companies and/or business partners my/our personal data for direct marketing through such channel prescribed by South China Group.

本人/吾等同意於附件一由南華證券及南華期貨提供的個人資料收集聲明擬轉移本人/吾等於其控股公司、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」)之個人資料以直接促銷;(i) 金融服務和產品;(ii) 相關優惠計劃;(iii) 金融與投資建議;或(iv) 南華集團就前述產品及服務之業務推廣和宣傳活動。該等個人資料包括本人/吾等在本開戶表格中向南華集團提供的及南華集團不時獲得的姓名、聯絡詳情、財務背景及統計資料等個人資料。本人/吾等明白本人/吾等可以隨時通過南華集團指定的渠道要求南華集團停止在直接促銷中使用本人/吾等的個人資料。

The contents of the "Personal Information Collection Statement" may be amended from time to time. Please approach South China Group and/or visit the South China Group's Website regularly for the latest "Personal Information Collection Statement".

個人資料收集聲明會不時更新。請定期聯絡南華集團及/或訪問南華集團網站以了解最新之個人資料收集聲明。

I/We (the Client) do not wish South China Group to use my/our personal data in direct marketing. 本人/吾等不希望南華集團使用本人/吾等的個人資料作直接促銷用途。

I/We (the Client) do not wish my/our personal data to be transferred within South China Group. 本人/吾等不希望南華集團之間轉移本人/吾等的個人資料。

## Part 14 – Declaration by Client | 第十四部分 – 客戶聲明

I/We declare that the contents and information provided by me/us in this Account Opening Form are true, complete and correct and that the representations made by me/us herein are accurate. South China Securities Limited, South China Commodities and your respective holding companies, subsidiary companies, associated companies, affiliated companies and/or your business partners (collectively referred to as "South China Group") may or are entitled to rely entirely upon such contents information and representations for all purpose, unless South China Group receive notice in writing from me of any change thereof. I hereby undertake to notify South China Group in writing forthwith, upon any material change(s) in the information provided herein.

本人/吾等聲明此開戶表格的內容及提供的資料均屬真實、完整和正確的。除非南華證券、南華期貨、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」)接到更改有關聲明內容的書面通知, 否則南華集團有權在任何用途上完全依賴這些資料及聲明。若此資料有任何修改, 本人/吾等承諾以書面方式通知南華集團。

I/We hereby also confirm my request for opening the Account(s) indicated in Part 1. I/We have been invited to read the South China Securities Trading Agreement, and/or the South China Commodities Trading Agreement, and the terms and conditions posted on the Sctrade.com website in a language I/we prefer and I/we fully understand and agree to be bound by them in full. I/We also have been invited to enquire and take independent legal advice if I/we wish.

本人/吾等確認要求開設第一部份所指帳戶。本人同意並已被邀請按照本人/吾等所選擇的語言閱讀南華證券交易協議書及/或南華期貨交易協議書，及刊載於南華互動金融網址內之章則和條款。本人/吾等完全理解並同意履行及遵守該協議書內之條款。本人/吾等已被告知如有任何疑問，可提出及尋求獨立法律意見。

I/We acknowledge and confirm that the following Licensed Person has already explained (1) Risk Disclosure Statements as set out in clause 15, the 2nd Schedule, the 3rd Schedule, the 4th Schedule of the South China Securities Trading Agreement; (2) Product Risk Disclosure Statements; (3) Supplemental Agreement for US Stock Trading Services (if applicable); and/or (4) Risk Disclosure Statement and Disclaimer as set out in clause 13 of South China Commodities Trade Agreement including, but not limited to, Risk Disclosure Statement for Futures and Options, Risk Disclosure Statement on On-line Trading Service, and Additional Risk Disclosure for Futures and Options Trading in a language of my/our choice. I/We hereby have read, fully understood and accepted all the aforesaid contents and provisions, and was invited to ask question and take independent legal advice, if I/we wish.

本人/吾等確認下述持牌人士已根據本人/吾等所選擇的語言向本人/吾等提供及解釋下列事項：(1) 南華證券交易協議書第 15 條列明的風險披露聲明、南華證券交易協議書的附件二、附件三、附件四；(2) 產品風險說明；(3) 美股交易服務補充條文（如適用）；及/或(4) 南華期貨交易協議書第 13 條列明的風險披露聲明，包括但不限於期貨及期權風險披露聲明、網上交易之風險披露聲明及關於期貨及期權買賣的額外風險披露。本人/吾等已閱讀、完全明白及接受所有內容和細則，及已被告知如有任何疑問，可提出及尋求獨立法律意見。

South China Group are further and hereby authorized at any time to contact any person or persons, including my/our banks, brokers, advisers or any credit agency, for or relating to the purpose of verifying the information provided by me/us in this Form.

南華集團現被授權在任何時候接觸任何人（等）包括本人/吾等往來銀行、經紀、顧問或任何信貸機構，以核實本人/吾等在此表格中所提及的有關資料。

I/We also undertake to notify South China Group immediately (in any event, within 30 days) of any changes to the information given above. Upon request, I/We 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, I/We understand 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.

本人/吾等亦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）通知南華集團。如上述南華集團要求，本人/吾等亦會盡快（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。如本人/吾等未能在指定時間內提供所需的額外文件，本人/吾等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/或提交本人/吾等之相關賬戶資料，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。

South China Group are further and hereby authorized to accept any fax and/or email from me/us as the original instruction, and I/we shall fully indemnify South China Group from and against all losses, damages, interest, costs, expenses, actions, demands, claims, proceedings whatsoever which may incur, suffer or sustain as a result of or arising from the exercise of that instruction. I/We hereby waive any liabilities for South China Group that may arise from these authorizations.

南華集團現被授權接收本人/吾等發出之傳真及/或電郵為原本指示及南華集團因執行此指示而招致、蒙受或遭受一切損失、賠償、利息、成本、費用及一切因法律行動而招致、蒙受或遭受之索償，向南華集團作出賠償保證及保障南華集團不會因此蒙受損失。本人並此免除南華集團因此授權引起的責任及損害。

## Part 15 – Signature of Client | 第十五部分 – 客戶簽署

Account Holder (1) 帳戶持有人(1)	Account Holder (2) 帳戶持有人(2)	
Name 姓名	Name 姓名	
Signature 簽署	Signature 簽署	
Date 日期	Date 日期	
<b>Applicable to Joint Account only 只適用於聯名賬戶</b>		
Where the account consists of more than one individual, each of the individuals hereby declares that the account is a joint account with right of survivorship. Please confirm by signing on the right. 若戶口由多個持有人組成，各持有人現聲明該戶口享有生存者之權利。請在右側簽署確認。	Signature 簽署	Signature 簽署
	Account Holder (1) 帳戶持有人(1)	Account Holder (2) 帳戶持有人(2)
<input type="checkbox"/> <b>Non-Face-to-Face Account Opening 非面對面方式開戶</b> (Note: If you are opening the Account(s) by way of non-face-to-face, please arrange for a certifier to witness your signature of the Account Opening Form and sighting of related identity documents.) (附註：如閣下以非面對面方式開立證券賬戶，請安排驗證人驗證閣下簽立本賬戶協議及有關的身份證明文件。)		
Name in the capacity of the certifier 驗證人姓名	Signature 簽署	
ID/ Passport No. 身份證 / 護照號碼	Date 日期	
Please state the Professional Qualification obtained by the Certifier* 請提供驗證人的專業資格*	Qualification/ Licence No. 資格/牌照號碼	

\*Remarks: Certifier has to be a JP (Justice of the Peace), or a professional person such as a branch manager of a bank, certified public accountant, lawyer or notary public.  
驗證人須為太平紳士或專業人士（例如銀行分行經理、執業會計師、律師或公證人）。

**Part 16 – Declaration by Licensed Person | 第十六部分 – 持牌人聲明**

I, \_\_\_\_\_ with C.E. number \_\_\_\_\_, have invited the applicant(s) to read the contents of the South China Securities Trading Agreement and/or the South China Commodities Trading Agreement and clearly explained (1) Risk Disclosure Statements as set out in clause 15, the 2nd Schedule, the 3rd Schedule, the 4th Schedule of the South China Securities Trading Agreement; (2) Product Risk Disclosure Statements; (3) Supplemental Agreement for US Stock Trading Services (if applicable) and/or (4) Risk Disclosure Statement and Disclaimer as set out in clause 13 of South China Commodities Trade Agreement include, but not limited to, Risk Disclosure Statement for Futures and Options, Risk Disclosure Statement on On-line Trading Service, and Additional Risk Disclosure for Futures and Options Trading in a language which the Client understand(s) and prefer(s). I have also invited the applicant(s) to ask questions and take independent advice if the Client wish(es).

本人，\_\_\_\_\_，中央編號 \_\_\_\_\_，已根據客戶所選擇的語言向客戶提供及解釋下列事項：（1）南華證券交易協議書第 15 條列明的風險披露聲明、南華證券交易協議書的附件二、附件三、附件四；（2）產品風險說明；（3）美股交易服務補充條文（如適用）；及/或（4）南華期貨交易協議書第 13 條列明的風險披露聲明，包括但不限於期貨及期權風險披露聲明、網上交易之風險披露聲明及關於期貨及期權買賣的額外風險披露。客戶已閱讀、完全明白及接受所有內容和細則，及已告知如有任何疑問，客戶可提出及尋求獨立法律意見。

**Licensed Representative Signature**  
持牌人簽署

**Date**  
日期

**For Internal Use only**

Prepared by

Checked by

Approved by RO

**PERSONAL DATA (PRIVACY) ORDINANCE (CAP.486) (“PDPO”)****《個人資料(私隱)條例》(第486章)《私隱條例》****PERSONAL INFORMATION COLLECTION STATEMENT****個人資料收集聲明**

- (1) The client (“Client”) respectively of South China Securities Limited, South China Commodities and the respective holding companies, subsidiary companies, associated companies and affiliated companies (individually or collectively “South China Group”) may from time to time be requested by South China Group to supply personal data (as defined under the PDPO) relating to the Client. For the purposes of this Statement, “personal data” (i) in the case of individual account holders, joint account holders or sole proprietors, means personal data relating to the relevant individual concerned; (ii) in the case of a partnership, means personal data relating to each partner of the partnership; and (iii) in the case of a corporate entity, means personal data relating to any individual director, shareholder, officer or manager which has been provided to South China Group.  
南華證券、南華期貨、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」)可不時要求其客戶提供其個人資料(按私隱條例之釋義)。在本聲明中,「個人資料」意指客戶已向南華集團提供之下列個人資料:(i)就個人帳戶持有人、聯名帳戶持有人或獨資經營者而言,其個人資料;(ii)就合夥而言,其各合夥人之個人資料;及(iii)就公司實體而言,其個人董事、股東、行政人員或經理之個人資料。
- (2) The Client shall provide all such personal data as shall be reasonably requested by South China Group in the Account Opening Form or otherwise, and any failure to do so may result in South China Group being unable to open or continue the Client’s account (“Account”), or to effect transactions under the Account.  
在南華集團合理地要求客戶在開戶文件或其他情況下提供個人資料時,客戶需按要求提供個人資料,否則可能導致南華集團無法為客戶開立或保持其帳戶或為其帳戶執行任何交易。
- (3) The Client understands and accepts that South China Group may provide personal data received from the Client to the following persons (whether within or outside of Hong Kong) for the purposes set out in sub-paragraph (4) of this Statement:  
客戶明白及同意,南華集團可以向下述人士提供收取自客戶的個人資料:
- (i) any nominees in whose name securities or other assets may be registered;任  
何以其名義登記證券或其他資產的代名人;
  - (ii) any member or affiliated or related company within the South China Group;  
南華集團內之成員或關聯或相關公司,包括但不限於南華集團之母公司及/或子公司;
  - (iii) any contractor, adviser, agent or third party service provider which provides administrative, background checking, data processing, financial, computer, telecommunication, payment or clearing, professional or other services to South China Group in connection with the operation of its business or provision of financial services or products to the Client;  
任何向南華集團提供與南華集團業務經營有關的或向客戶提供金融服務或產品有關的行政、背景審查、資料處理、財務、電腦、電訊、支付或結算、金融、專業或其他服務的承包商、顧問、代理人或第三方服務提供者;
  - (iv) credit reference agencies, and, in the event of default, to debt collection agencies;信貸  
資料服務機構,及(在違約欠債時)追收債款代理;
  - (v) any person with whom South China Group enters into or proposes to enter into a transaction with on behalf of the Client or the Account, or the persons representing the same;  
南華集團代表客戶或客戶帳戶或其代表與之訂立或擬訂立交易的任何人;
  - (vi) any person who provides financial services or issues, distributes or provides financial products to the Client through or with South China Group;透過或  
與南華集團一起向客戶提供金融服務或發行、分銷或提供金融產品的任何人;
  - (vii) any foreign or local exchanges of securities, futures and/or other financial products where the Client’s orders to buy or sell such securities, futures and/or other financial products are placed or transacted; or their associated clearing houses or operators;  
客戶進行證券、期貨及/或其他金融產品買賣而在其場所下單或交易的任何外國或本地的證券、期貨及/或其他金融產品的交易所;或其相關聯結算所或營運者;
  - (viii) any assignee, transferee, participant, sub-participant, delegate, successor or person to whom any agreement between the Client and South China is novated; and任何更  
替南華集團與客戶協議約務的承讓人、受讓方、參與者、次參與者、獲轉授人、繼承人或人士;及
  - (ix) any foreign or local governmental, regulatory, supervisory, tax, law enforcement or other authorities, bodies or institutions.任何外  
國或本地的政府、監管、監督、稅務、執法或其他機關、組織或機構。
- (4) The Client understands and accepts that the purposes for which the personal data provided by the Client from time to time may be used are:客戶明白及同意,其不時提供之個人資料可以作下述用途使用:
- (i) executing or giving effect to the Client’s orders relating to transactions or otherwise, and carrying out the Client’s other Instruction;執行或實行  
客戶有關於交易或其他事情之下單或指令,以及執行客戶的其他指示;
  - (ii) providing financial services or products to the Client or in connection with the Account, whether the services or products are provided by or through any other member of South China Group or any other person, within or outside Hong Kong;  
向客戶提供金融服務或產品或提供與帳戶有關的金融服務或產品,不論相關服務或產品是否由或透過任何在香港境內或境外南華集團成員或其他人士提供;
  - (iii) providing personalized financial analysis and planning or designing financial services or products for the Client’s use;提供個  
人化財務分析及策劃或設計供客戶使用的金融服務或產品;
  - (iv) marketing services or products which may be of interest to the Client;向客  
戶推銷客戶可能感興趣的服務或產品;
  - (v) conducting credit inquiries or background checks on the Client and ascertaining the Client’s financial situation and investment objectives;對客戶進  
行信貸或背景查詢及確定客戶財務狀況和投資目標;
  - (vi) collecting of amounts due, enforcing of security, charges or other rights and interests in favour of South China Group;追收債  
款、行使以南華集團或其他南華集團成員為受益人的抵押品、押記或其他權力及權利;
  - (vii) complying with and/or enabling any affiliated or related company in the South China Group to comply with any foreign or local laws, regulations (including Foreign Account Tax Compliance Act, Automatic Exchange Of Financial Account Information, Common Reporting Standards and similar regulations), notifications, directives, guidelines or guidance given or issued by or in agreement with any legal, regulatory, governmental, tax, law enforcement or other authorities, exchanges, or self-regulatory or industry bodies or associations of financial services providers, within or outside Hong Kong, existing currently and in the future;  
為遵守或為促使南華集團內之關聯公司或其相關公司遵守任何本地或外國之法律、規例(包括外國帳戶稅收合規法案、自動交換財務帳戶資料、共同申報準則及相類似規例)、任何在香港境內或境外現存或未來設立的法律、監管、政府、稅務、執法或其他機關、交易所、或自我監管或行業團體或組織或金融服務提供者所自行或按協議提供或發出的通知指示或指引;
  - (viii) complying with obligations, requirements, policies, procedures, measures and arrangements for sharing personal data and information within the South China Group and/or any other use of personal data in accordance with any South China Group wide programmes for compliance with sanctions or prevention or detection of money laundering, terrorist financing or other unlawful activities; and  
為遵守南華集團為了遵守制裁、防止或偵查洗錢、恐怖份子融資或其他非法活動而制定的,適用於任何南華集團成員的,關於個人資料在南華集團內分享及/或用於其他用途的責任、要求、政策、程序、措施及安排;及
  - (ix) other purposes related or incidental to any one or more of the above,與上  
述任何一條或多條有關或附帶的其他目的。

- (5) South China Group may from time to time transfer the personal data of the Client outside Hong Kong to any of the persons referred to in sub-paragraph (3) of this Statement above and for any of the purposes referred to in sub-paragraph (4) of this Statement above.

南華集團可以不時按上述第(4)段所述用途，轉移客戶的個人資料予香港以外之上述第(3)段所述人士。

(6) **Use of Personal Data in Direct Marketing 個人資料在直接促銷中的使用**

South China Group intends to use, from time to time, Client's personal data in direct marketing of financial products and services, including but not limited to securities, futures, fixed income, currencies, commodities, wealth management, asset management, equity financing, equity derivatives, insurance, and other financial products and services. Only the following kinds of personal data of the Client may be used in such direct marketing:

南華集團會不時使用客戶的個人資料，用作直接促銷不同的金融產品和服務，其中包括但不限於證券、期貨、固定收益、外匯、商品、財富管理、資產管理、融資證券、股權衍生產品、保險、及其他金融產品及服務。使用於直接促銷的客戶的個人資料將限於：

- (i) Name 姓名;
- (ii) Gender 性別;
- (iii) date of birth 出生日期;
- (iv) part of identity card or passport number 身份證或護照號碼的一部分;
- (v) contact information (including but not limited to phone number, fax number, email address, correspondence address and residential address) 聯絡資料 (包括但不限於電話號碼、傳真號碼、電郵地址、通訊地址及住宅地址);
- (vi) information about the products and/or services the Client has purchased or applied for. South China Group may not so use the data unless it has received the Client's consent to the intended use.

客戶已購買或申請的產品及/或服務的資料。除非已獲得客戶同意預期用途，否則南華集團不得使用該數據。

(7) **Provision of Personal Data for Use in Direct Marketing 提供個人資料作直接促銷**

South China Group intends to provide, from time to time and for money and other property, Client's personal data to South China Group by direct marketing of financial products and services, including but not limited to securities, futures, fixed income, currencies, commodities, wealth management, asset management, equity financing, equity derivatives, insurance, and other financial products and services. Only the following kinds of personal data of the Client may be provided to South China Group in such direct marketing:

南華集團會不時向其他南華集團成員提供客戶的個人資料，使其可以使用客戶的個人資料用作直接促銷不同的金融產品和服務，其中包括但不限於證券、期貨、固定收益、外匯、商品、財富管理、資產管理、融資證券、股權衍生產品、保險、及其他金融產品及服務。提供予其他南華集團成員使用於直接促銷的客戶的個人資料將限於：

- (i) Name 姓名;
- (ii) Gender 性別;
- (iii) date of birth 出生日期;
- (iv) part of identity card or passport number 身份證或護照號碼的一部分;
- (v) contact information (including but not limited to phone number, fax number, email address, correspondence address and residential address) ;聯絡資料 (包括但不限於電話號碼、傳真號碼、電郵地址、通訊地址及住宅地址);
- (vi) information about the products and/or services the Client has purchased or applied for. South China Group may not so use the data unless it has received the Client's consent to the intended use.

客戶已購買或申請的產品及/或服務的資料。除非已獲得客戶同意預期用途，否則南華集團不得使用該數據。

(8) **China Connect Securities Trading Service 中華通證券交易服務**

The Client acknowledges and agrees that in providing South China Group's China Connect securities trading service to the Client, South China Group will be required to:客戶明白

及同意，南華集團為客戶提供中華通證券交易服務時，南華集團須要：

- (i) tag each of the Client's orders submitted to the China Stock Connect System ("CSC") with a Broker-to-Client Assigned Number ("BCAN") that is unique to the Client or the BCAN that is assigned to the Client's joint account with South China Group, as appropriate; and  
在提交每一客戶交易指令予中華通買賣盤訂單傳遞系統時，在交易指令中附加上客戶唯一的券商客戶編碼或(如客戶賬戶為聯名賬戶)客戶聯名賬戶獲分配的券商客戶編碼；及
- (ii) provide to the Exchange the Client's assigned BCAN and such identification information ("Client Identification Data" or "CID") relating to the Client as the Exchange may request from time to time under the Rules of the Exchange.

向交易所提供客戶唯一的券商客戶編碼及一切交易所按照其規則不時要求索取的關於客戶的身份識別資料。

Without limitation to any notification South China Group has given the Client or consent South China Group has obtained from the Client in respect of the processing of the Client's personal data in connection with the Client's account and South China Group's services to the Client, the Client acknowledges and agrees that South China Group may collect, store, use, disclose and transfer personal data relating to the Client as required as part of South China Group's China Connect securities trading service, including as follows:

不受限於南華集團就著因應客戶的賬戶或提供服務予客戶而處理客戶個人資料而給予客戶的通知或取得的客戶同意，客戶明白及同意，作為南華集團中華通證券交易服務的一部分，南華集團可以作出下述的收集、儲存、使用、披露及轉移客戶的個人資料的行為：

- (a) to disclose and transfer the Client's BCAN and CID to the Exchange and the relevant SEHK Subsidiaries from time to time, including by indicating the Client's BCAN 18 03/2019 when inputting a China Connect Order into the CSC, which will be further routed to the relevant China Connect Market Operator on a real-time basis;  
不時向交易所及相關交易所附屬公司披露及轉移客戶的券商客戶編碼及客戶識別信息，包括在中華通買賣盤訂單傳遞系統輸入中華通證券交易指令時顯示客戶的券商客戶編碼，並實時轉傳至相關中華通證券交易營運者；
- (b) to allow each of the Exchange and the relevant SEHK Subsidiaries to: (i) collect, use and store the Client's BCAN, CID and any consolidated, validated and mapped BCANs and CID information provided by the relevant China Connect Clearing House (in the case of storage, by any of them or via HKEX) for market surveillance and monitoring purposes and enforcement of the Rules of the Exchange; (ii) transfer such information to the relevant China Connect Market Operator (directly or through the relevant China Connect Clearing House) from time to time for the purposes set out in (c) and (d) below; and (iii) disclose such information to the relevant regulators and law enforcement agencies in Hong Kong so as to facilitate the performance of their statutory functions with respect to the Hong Kong financial markets;  
容許交易所及各相關交易所附屬公司：(i)收集、使用及儲存客戶的券商客戶編碼及客戶識別信息以及相關中華通結算所所提供(以儲存而言，它們通過香港交易所進行)的合併、核實及配對的券商客戶編碼及客戶識別信息資料，以作市場監察及執行交易所規則用途；(ii)基於下列(c)及(d)所述目的，不時(直接或通過相關中華通結算所)轉移該等資料予相關中華通證券交易營運者；及(iii)披露該等資料予香港相關監管機構及執法機關，以配合其履行關於香港金融市場的法定職能；
- (c) to allow the relevant China Connect Clearing House to: (i) collect, use and store the Client's BCAN and CID to facilitate the consolidation and validation of BCANs and CID and the mapping of BCANs and CID with its investor identification database, and provide such consolidated, validated and mapped BCANs and CID information to the relevant China Connect Market Operator, the Exchange and the relevant SEHK Subsidiary; (ii) use the Client's BCAN and CID for the performance of its regulatory functions of securities account management; and (iii) disclose such information to the Mainland regulatory authorities and law enforcement agencies having jurisdiction over it so as to facilitate the performance of their regulatory, surveillance and enforcement functions with respect to the Mainland financial markets; and  
容許相關中華通結算所：(i)收集、使用及儲存客戶的券商客戶編碼及客戶識別信息，以對券商客戶編碼及客戶識別信息作出合併及核實並與其投資者身份識別資料庫作出配對，及把合併、核實及配對的券商客戶編碼及客戶識別信息資料提供予相關中華通證券交易營運者、交易所及相關交易所附屬公司；(ii)使用客戶的券商客戶編碼及客戶識別信息，以履行其證券賬戶管理的法定職能；及(iii)披露該等資料予中國大陸相關監管機構及執法機關，以配合其履行關於中國大陸金融市場的監管、監察及執法職能；及

- (d) to allow the relevant China Connect Market Operator to: (i) collect, use and store the Client's BCAN and CID to facilitate their surveillance and monitoring of securities trading on the relevant China Connect Market through the use of the China Connect Service and enforcement of the rules of the relevant China Connect Market Operator; and (ii) disclose such information to the Mainland regulatory authorities and law enforcement agencies so as to facilitate the performance of their regulatory, surveillance and enforcement functions with respect to the Mainland financial markets.

容許相關中華通證券交易營運者：(i)收集、使用及儲存客戶的券商客戶編碼及客戶識別信息，以監察通過使用中華通服務在相關中華通市場進行之證券交易，和執行相關中華通證券交易營運者之規則；及(ii)披露該等資料予中國大陸相關監管機構及執法機關，以配合其履行關於中國大陸金融市場的監管、監察及執法職能。

By instructing South China Group in respect of any transaction relating to China Connect Securities, the Client acknowledges and agrees that South China Group may use the Client's personal data for the purposes of complying with the requirements of the Exchange and its rules as in force from time to time in connection with the Stock Connect Northbound trading. The Client also acknowledges that despite any subsequent purported withdrawal of consent by the Client, the Client's personal data may continue to be stored, used, disclosed, transferred and otherwise processed for the above purposes, whether before or after such purported withdrawal of consent.

當客戶指示南華集團進行任何中華通證券的交易時，客戶明白及同意，南華集團可以使用客戶的個人資料於遵守交易所的要求及其對中華通北向交易不時生效的規則。客戶也明白，即使未來客戶計劃撤消其同意，客戶的個人資料（不論客戶撤消客戶同意前或後）會繼續被儲存、使用、披露、轉移或以其他方式處理，以達至上述目的。

**(9) Consequences of failing to provide Personal Data or Consent 不能提供個人資料或同意的後果**

Failure to provide South China Group with the Client's personal data or consent as described above may mean that South China Group will not, or no longer be able, as the case may be, to carry out the Client's trading instructions or provide the Client with South China Group's China Connect securities trading service. The Client has the right to request a copy of such personal data and may request the correction of the personal data (if applicable). Any such request must be made in accordance with the PDPO and shall be addressed to Compliance Department of South China Group at the address at 36/F., The Centrium, 60 Wyndham Street, Central, Hong Kong. The Client understands that a fee shall be charged by South China Group for any such request.

客戶不能如上述向南華集團提供個人資料或同意，將可能導致南華集團（按情況）不會或不可繼續執行客戶的交易指示或向客戶提供中華通證券交易服務。客戶可以要求南華集團提供其個人資料的副本，及可以在需要時要求對其個人資料進行更正。任何此類要求可致于南華集團合規部，地址為：香港中環雲咸街60號中央廣場36樓。客戶明白南華集團將就任何此等要求收取費用。