

Joint Account Application Supplementary Form

The Co-Applicant's Particulars Information

聯名帳戶第二申請人資料

Name of co-applicant _____

FOR JOINT ACCOUNT APPLICANT(S) ONLY

FINANCIAL PROFILE 財政概況

Annual Income 每年收入 (HKD 港幣)				<input type="checkbox"/> ≤ \$250,000	<input type="checkbox"/> \$250,001 - \$500,000	<input type="checkbox"/> \$500,001 - \$1,000,000	<input type="checkbox"/> > \$1,000,000
Personal Net Assets 個人資產淨值 (HKD 港幣)				<input type="checkbox"/> ≤ \$500,000	<input type="checkbox"/> \$500,001 - \$1,000,000	<input type="checkbox"/> \$1,000,001 - \$5,000,000	<input type="checkbox"/> > \$5,000,000
Risk Tolerance Level 承受風險程度		Investment Horizon 投資期		Investment Experience 投資經驗			
<input type="checkbox"/> Aggressive 進取 <input type="checkbox"/> Moderate 穩健 <input type="checkbox"/> Conservative 保守		<input type="checkbox"/> Short Term 短線 <input type="checkbox"/> Medium Term 中線 <input type="checkbox"/> Long Term 長線		Stock 股票 <input type="checkbox"/> Yes ____ Year(s)年 Warrant 窩輪 <input type="checkbox"/> Yes ____ Year(s)年 Futures 期貨 <input type="checkbox"/> Yes ____ Year(s)年		Gold/FX/Commodities 黃金/外匯/商品 <input type="checkbox"/> Yes ____ Year(s)年 Mutual Fund 基金 <input type="checkbox"/> Yes ____ Year(s)年 Structured Products 結構性產品 <input type="checkbox"/> Yes ____ Year(s)年	

KNOWLEDGE OF DERIVATIVES 對衍生工具的認識

Do you have knowledge of derivative product(s)? 你是否對衍生產品有認識?

<input type="checkbox"/> Yes 是 Please indicate one of the followings 並從以下途徑認知			<input type="checkbox"/> No 否
1) Attended training or courses that provide general knowledge of the nature and risks of derivatives 曾接受有關介紹一般衍生產品之性質及風險的培訓或課程	2) Relevant work experience related to derivative products 擁有相關衍生產品的工作經驗	3) Executed at least 5 transactions in any derivative products within past 3 years 在過去三年執行過最少五次有關任何衍生產品的交易	
Name of Institution Providing Courses 提供相關課程之機構	Name of Employer 任職公司名稱	<input type="checkbox"/> Callable Bull/ Bear Contracts (CBB/C) 牛熊證 <input type="checkbox"/> Exchange Traded Funds (ETF) 交易所買賣基金 <input type="checkbox"/> Futures or Options 期貨或期權合約交易 <input type="checkbox"/> Others (Please specify) 其他 (請註明)	
Name of Course/ Seminar 課程/研討會名稱	Position 職銜	<input type="checkbox"/> Derivative Warrants 衍生認股證 <input type="checkbox"/> Rights 供股權 <input type="checkbox"/> Stock Options 股票期權	
Period Attended 參與時期 MM / YYYY - MM / YYYY	Applicant is classified as 申請人已被分類為: <input type="checkbox"/> with knowledge in derivative product(s) 對衍生產品有認識 <input type="checkbox"/> without knowledge in derivative product(s) 對衍生產品沒有認識		

IDENTITY DECLARATION 身份聲明

Is the Applicant 申請人是否:

1) A senior officer or director of any listed company whose shares are traded on any exchange or market? (If yes, please specify the company name and stock code) 其股份在任何交易所或市場買賣的上市公司之高級人員或董事? (如是, 請說明公司名稱及上市編號)	2) A person licensed by or registered with the SFC or an employee of such organization? (If yes, please state CE no.) 香港證監會註冊人士或該公司的僱員 (如是, 請說明中央編號)	3) A relative of employee of Brilliant Norton Securities Company Limited? (If yes, please state relationship.) 億豐證券有限公司僱員之親屬? (如是, 請陳述其關係)	4) A person holding prominent public office? (If yes, please specify) 擔任重要公職人士? (如是, 請說明)
<input type="checkbox"/> Yes 是 Company Name & Stock code 公司名稱及上市編號	<input type="checkbox"/> No 否	<input type="checkbox"/> Yes 是 CE no. 中央編號	<input type="checkbox"/> No 否
		<input type="checkbox"/> Yes 是 Relationship 關係	<input type="checkbox"/> No 否
5) The ultimate beneficiary of the account and transactions 帳戶及交易的最終實益持有人		6) Ultimately responsible for originating the instruction in relation to a transaction 最終負責作出交易指示的人士	7) The only person with authority to operate the account 唯一有權操作此帳戶者
<input type="checkbox"/> No 否 Please fill in the details of ultimate beneficial owner(s) 須同時填寫最終實益持有人詳細資料		<input type="checkbox"/> Yes 是	<input type="checkbox"/> Yes 是
<input type="checkbox"/> Yes 是	Name 姓名	Identity Card or Passport No. 身份證或護照號碼	Please complete "Declaration of person/entity ultimately responsible for originating the instruction in relation to a transaction" 須同時填寫「最終負責作出交易指示的人士聲明」表格
	Relationship with Applicant 與申請人關係	Contact No. 聯絡電話	
	Address 地址		
Brilliant Norton Securities Company Limited normally will not accept Applicant who is not the ultimate beneficiary. 億豐證券有限公司通常不會接受非最終實益持有人之申請人		Except Joint Account Applicant 開設聯名帳戶人士除外	

Client's Initial
客戶簡章