

公司

賬戶申請表

Corporate Account
Opening Form

越

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證券

Client Name

客戶名稱

Account No.

賬戶號碼

Opening Date

開戶日期

公司賬戶申請表
Corporate Account Opening Form

證券商名稱:	越秀證券有限公司（“越秀證券”）
Name of Issuer:	Yue Xiu Securities Company Limited ("Yue Xiu Securities")
香港證監會持牌編號:	ABQ722
SFC License Number:	
註冊地址:	香港灣仔港灣道30號新鴻基中心49樓17-37室
Registered Address:	Room 17-37, 49/F, Sun Hung Kai Centre, 30 Harbour Road, Wanchai, Hong Kong

本表格之英文版本而非中文版本被視為確實及具有最終效力。閣下如需索取有關條款和條件的英文版本，請向本行查詢。

The terms of the English version shall be deemed to be conclusive and definitive. Please approach Yue Xiu Securities Co. Ltd. for a copy of Terms and Conditions in English if necessary.

注意事項 Important Notes

非親身開戶程序：

Non Face-to-Face Account Opening Approach:

如果客戶並非在越秀證券的證監會持牌員工在場見證下簽立本開戶申請表格及其他開戶文件，客戶須向越秀證券提交下列文件：

If this Account Opening Application Form and the other account opening are not executed by the Client in the presence of a SFC licensed employee of Yue Xiu Securities, the Client shall submit the following items to Yue Xiu Securities:

- (a) 由指定人士（包括非越秀證券員工的任何證監會持牌人或註冊人、證監會持牌人或註冊人的附屬機構／太平紳士／專業人士，例如持牌銀行的分行經理／執業律師／（執業）會計師／公證人）見證的正式填妥及簽署的開戶表格；及

the duly completed and signed Account Opening Form witnessed by a specified person (including any SFC Licensed or Registered Person other than the employees of Yue Xiu Securities, an affiliate of a SFC Licensed or Registered Person / a Justice of Peace / a professional person e.g. Branch Manager of a Licensed Bank / Practising Lawyer / Certified Public Accountant (Practising) / Notary Public); and

- (b) 由指定人士（包括非越秀證券員工的任何證監會持牌人或註冊人／證監會持牌人或註冊人的附屬機構／太平紳士／專業人士，例如持牌銀行的分行經理／執業律師／（執業）會計師／公證人）認證的上述開戶申請清單中要求的身份證明文件。

the identity documents as required under the Account Opening Checklist certified by a specified person (including any SFC Licensed or Registered Person other than the employees of Yue Xiu Securities, an affiliate of a SFC Licensed or Registered Person / a Justice of Peace / a professional person e.g. Branch Manager of a Licensed Bank / Practising Lawyer / Certified Public Accountant (Practising) / Notary Public).

風險披露聲明 Risk Disclosure Statement

越秀證券特此提請您注意載於《客戶協議》C 部分可能不時修改的《風險披露聲明》。

Yue Xiu Securities hereby draw your attention to the Risk Disclosure Statement set out in Part C of the Client Agreement, which may be amended from time to time.

開戶申請表格 ACCOUNT OPENING APPLICATION FORM
公司/獨資/合夥帳戶適用 FOR CORPORATE/SOLE PROPRIETORSHIP/ PARTNERSHIP ACCOUNT
只供內部使用 Internal Use Only

賬戶號碼 Account No. : _____

業務人員編號 Sales Staff Code: _____

Note: 1.請用正楷填寫，並在適當位置加上剔號。

Please complete in Block Letters and tick ✓ the appropriate box where applicable.

2.請刪去不適用者，並在不適用位置填上"N/A"。

Please delete whichever is not appropriate and mark "N/A" on the unfilled spaces.

1.帳戶類別 TYPE OF ACCOUNT

證券帳戶 Securities Account A) <input type="checkbox"/> 公司帳戶 Corporate Account <input type="checkbox"/> 獨資/合夥帳戶 Sole Proprietorship/Partnership B) <input type="checkbox"/> 現金帳戶 (附託管服務) Cash Account (with custody services) <input type="checkbox"/> 孖展帳戶 Margin Account C) <input type="checkbox"/> 環球股票 <input type="checkbox"/> 中港通 Global Market China-HK Connect Services	股票期權帳戶 Stock Options Account <input type="checkbox"/> 公司帳戶 Corporate Account <input type="checkbox"/> 獨資/合夥帳戶 Sole Proprietorship/Partnership	電子交易 Electronic Trading 閣下是否需要電子交易服務? Would you require electronic trading services? <input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
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2.公司客戶資料 CLIENT INFORMATION

名稱 Name of Corporation/ Sole Proprietorship/ Partnership	英文 English	中文 Chinese
註冊日期 Date of Incorporation/ Establishment		註冊/成立地點 Place of Incorporation/ Establishment
公司註冊證書號碼 Registration or Incorporation No. (if applicable)		組織類別 (如上市公司或私人等) Nature of Entity (i.e. PLC or private etc)
香港商業登記號碼 (如適用) Hong Kong Business Registration No.(if applicable)	業務性質 Nature of Business	經營年期 Years In the Business
註冊地址 Registered Address		
香港之主要營業地址 Principle Place of Business in Hong Kong		
公司通訊地址 (如與上述地址不同) Correspondence Address (if different from above)		
結單收取方式 Way of statement delivery: <input type="checkbox"/> 電子郵件 By Email <input type="checkbox"/> 郵寄 By Post		
公司電話 Business Tel. No.	傳真號碼 Fax No.	電郵地址 E-mail Address
受益人及擁有權益的百分比 (上市公司不適用) Registered Owners and Percentage Owned (not applicable to public listed companies): (請附頁填寫其他人士 If you require additional space for additional parties, please attach a separate sheet)		
(1) 姓名 Name _____ (____%)		(2) 姓名 Name _____ (____%)
(3) 姓名 Name _____ (____%)		(4) 姓名 Name _____ (____%)

*如非香港注册公司，請填寫法律權接收人委任表格，接收人必須是有香港地址的香港居民或在香港注册公司。

*For companies not incorporated in Hong Kong, please complete the Process Agent Appointment Form in respect of the appointment of a process agent who has either a Hong Kong resident or a Hong Kong incorporated company with a Hong Kong address.

3. 結算安排 SETTLEMENT ARRANGEMENT

有關款項將會根據貴公司的提款指示轉帳至以下銀行帳號

Funds will be transferred to the following bank accounts pursuant to your fund withdrawal instruction

	(1)	(2)
往來銀行名稱： Name of Bank		
帳號持有人名稱： Account Holder's Name		
銀行帳號： Bank Account No.		
帳號類別/貨幣： Account Type/ Currency		

4. 最終實益擁有人 ULTIMATE BENEFICIAL OWNER(S) OF THE ACCOUNT

1. 閣下是否此帳戶最終受益人或擁有人？

Are you the ultimate beneficiary owner(s) of the Account who stands to gain the commercial or economic benefit of the transactions of the Account and/or bear its commercial or economic risks?

☐ 是 Yes ☐ 否 No

如否, 請提供最終受益人或擁有人之詳盡資料:

If no, give detailed particulars of ultimate beneficiary owner(s)

(如閣下需要更多空間, 請另加附頁)

(Please use a separate sheet as necessary)

<p>1.) 姓名 Name</p> <p>_____</p> <p>身分證/護照號碼及發行國家 ID Card/ Passport No. and Issuing Country</p> <p>_____</p> <p>電話號碼 Tel. No.</p> <p>_____</p> <p>地址 Address</p> <p>_____</p> <p>稅務地址及稅務識別編號 (如適用) Tax residence and tax identification number (if applicable)</p> <p>_____</p>	<p>2.) 姓名 Name</p> <p>_____</p> <p>身分證/護照號碼及發行國家 ID Card/ Passport No. and Issuing Country</p> <p>_____</p> <p>電話號碼 Tel. No.</p> <p>_____</p> <p>地址 Address</p> <p>_____</p> <p>稅務地址及稅務識別編號 (如適用) Tax residence and tax identification number (if applicable)</p> <p>_____</p>
<p>3.) 姓名 Name</p> <p>_____</p> <p>身分證/護照號碼及發行國家 ID Card/ Passport No. and Issuing Country</p> <p>_____</p> <p>電話號碼 Tel. No.</p> <p>_____</p> <p>地址 Address</p> <p>_____</p> <p>稅務地址及稅務識別編號 (如適用) Tax residence and tax identification number (if applicable)</p> <p>_____</p>	<p>4.) 姓名 Name</p> <p>_____</p> <p>身分證/護照號碼及發行國家 ID Card/ Passport No. and Issuing Country</p> <p>_____</p> <p>電話號碼 Tel. No.</p> <p>_____</p> <p>地址 Address</p> <p>_____</p> <p>稅務地址及稅務識別編號 (如適用) Tax residence and tax identification number (if applicable)</p> <p>_____</p>

2.閣下是否對發出指令負最終責任？

Are you the person ultimately responsible for originating instructions?

☐ Yes 是 ☐ No 否

如否,請提供對發出指令負最終責任人之詳盡資料:

If no, give detailed particulars of the person ultimately responsible for originating instructions

英文姓名

Name in English

身分證/護照號碼

ID/Passport No.

地址

Address

中文姓名

Name in Chinese

電話號碼

Tel. No.

3.如屬集體投資計劃、全權委託帳戶及/或全權信託,請填寫投資經理/受託人或負責作出投資決定的其他人士的詳盡資料。

If you are a collective investment scheme, discretionary account and/or discretionary trust, please fill in particulars of the investment manager/trustee or any other person(s) who is responsible for the investment decision.

英文姓名

Name in English

身分證/護照號碼

ID/Passport No.

地址

Address

中文姓名

Name in Chinese

電話號碼

Tel. No.

5.授權人士 AUTHORIZED PERSON(S)

帳戶可按以下人士中的任何_____位(每位「獲授權人」)按以下所列的簽字安排的指令操作:

The Account(s) may be operated on the instructions (written or verbal or electronically) of any _____ of the following persons (each an "Authorized Person"), pursuant to the signature arrangements below:

*註:請刪去以上所有空白處

* Note: Please cross out any unused space below

(1) 姓名

Name

身分證/護照號碼及發行國家

ID Card/ Passport No. and Issuing Country

電話號碼

Tel. No.

簽名樣本

Specimen Signature

(2) 姓名

Name

身分證/護照號碼及發行國家

ID Card/ Passport No. and Issuing Country

電話號碼

Tel. No.

簽名樣本

Specimen Signature

(3) 姓名

Name

身分證/護照號碼及發行國家

ID Card/ Passport No. and Issuing Country

電話號碼

Tel. No.

簽名樣本

Specimen Signature

(4) 姓名

Name

身分證/護照號碼及發行國家

ID Card/ Passport No. and Issuing Country

電話號碼

Tel. No.

簽名樣本

Specimen Signature

若閣下需要更多空間,請另加附頁。

Please use a separate sheet to specify any other signature arrangements (if any).

公司印章或鋼印樣本(如適用)

Specimen of Company Chop or Seal (if applicable):

股東資料 Shareholders information

1.) 姓名

Name

身分證/護照號碼及發行國家

ID Card/ Passport No. and Issuing Country

電話號碼

Tel. No.

地址

Address

所佔股權百分比

Shareholding percentage

2.) 姓名

Name

身分證/護照號碼及發行國家

ID Card/ Passport No. and Issuing Country

電話號碼

Tel. No.

地址

Address

所佔股權百分比

Shareholding percentage

3.) 姓名

Name

身分證/護照號碼及發行國家

ID Card/ Passport No. and Issuing Country

電話號碼

Tel. No.

地址

Address

所佔股權百分比

Shareholding percentage

4.) 姓名

Name

身分證/護照號碼及發行國家

ID Card/ Passport No. and Issuing Country

電話號碼

Tel. No.

地址

Address

所佔股權百分比

Shareholding percentage

如閣下需要更多空間，請另加附頁。 Please use a separate sheet as necessary.

6. 公司之財務資料簡要 FINANCIAL PROFILE

法定資本 (如適用) Authorized Share Capital (if applicable) :

HK\$ _____

已繳資本 (如適用) Paid-Up Issued Share Capital (if applicable) :

HK\$ _____

根據審計報告現年公司財務資料摘要：

Account Summary of the Company for the latest financial year based on audited accounts:

經營溢利 Net Profit after taxation

HK\$ _____

總資產 Total Assets

HK\$ _____

總負債 Total Liabilities

HK\$ _____

資產淨值 Total Net Asset Value

HK\$ _____

資金來源

Source of Fund

☐ 投資獲利 Return on Investment ☐ 業務溢利 Business Profits ☐ 股東貸款 Shareholders' loan

☐ 其他 (Please specify) Others : _____

每年收入 (港元)

Annual Income (HK\$)

- ☐ ≤HK\$ 150,000
☐ HK\$150,001 – HK\$500,000
☐ HK\$500,001 – HK\$1,000,000
☐ HK\$1,000,001 – HK\$2,000,000
☐ ≥HK\$2,000,000

資產淨值 (港元)

Net Asset Value (HK\$)

- ☐ ≤HK\$ 500,000
☐ HK\$500,001 – HK\$1,000,000
☐ HK\$1,000,001 – HK\$3,000,000
☐ HK\$3,000,001 – HK\$5,000,000
☐ HK\$5,000,001 – HK\$8,000,000
☐ HK\$8,000,001 – HK\$20,000,000
☐ HK\$20,000,001 – HK\$40,000,000
☐ ≥HK\$40,000,000

資產類別 (可選擇多於一項)

Asset Type (You may choose more than one option)

- ☐ 房地產 Land and Property ☐ 現金 Cash / 存款 Deposit
☐ 基金 Funds ☐ 股票 Stocks
☐ 公司股份 Company Shares ☐ 車輛 Vehicle(s)
☐ 外匯 Foreign Exchange ☐ 債券 Bonds / Debentures
☐ 貴金屬 Precious Metal

7. 投資目的及經驗評估 ASSESSMENT OF INVESTMENT OBJECTIVES AND EXPERIENCE

投資產品經驗 Investment Products Experience		經驗年期 Years of experience	投資目的 Investment Objectives
<input type="checkbox"/> 全無經驗 No experience <input type="checkbox"/> 香港上市證券 Hong Kong listed securities <input type="checkbox"/> 海外上市證券 Overseas listed securities <input type="checkbox"/> 香港期貨及期權 Hong Kong futures and options <input type="checkbox"/> 海外期貨及期權 Overseas futures and options <input type="checkbox"/> 衍生產品/認股權證 Derivative Products / Warrants <input type="checkbox"/> 其他 (請說明) Others (Please specify): _____		_____ _____ _____ _____ _____ _____	<input type="checkbox"/> 資本增長 Capital Appreciation <input type="checkbox"/> 賺取收入 Generating Income <input type="checkbox"/> 對沖 Hedging <input type="checkbox"/> 套戥 Arbitrage <input type="checkbox"/> 投機 Speculation <input type="checkbox"/> 其他 (請說明) Others (Please specify): _____

投資期 Investment Horizon	風險承受 (請擇其一) Level of Risk Tolerance (Choose only one)	主要收入來源 Primary Sources of Income	曾選用的經紀公司 Previous Brokerage Firms
<input type="checkbox"/> 沒有限制 No Constraint <input type="checkbox"/> 短期(少於 3 個月) Short Term (<3 months) <input type="checkbox"/> 中期(3-12 個月) Medium Term (3-12 months) <input type="checkbox"/> 長期(1 年以上) Long Term (>1year)	<input type="checkbox"/> 低風險 Low <input type="checkbox"/> 中風險 Medium <input type="checkbox"/> 高風險 High *請留意證券保證金帳戶 屬於 中風險或高風險類別 *Securities margin account belongs to medium and/or high risk categories	<input type="checkbox"/> 公司營運資金 Company's Operating Fund <input type="checkbox"/> 投資 Investment <input type="checkbox"/> 其他 Others _____	請列出閣下曾選用的經紀公司 Please specify any brokerage firms that has ever provided services to you (1) _____ (2) _____ (3) _____

公司或其任何一位董事是否曾經清盤或破產?
 Has the Company or any of the directors been subjected to bankruptcy or insolvency proceedings?

☐ 有 ☐ 沒有
 Yes No

8. 對結構性及衍生產品認識之評估問卷 DERIVATIVE KNOWLEDGE ASSESSMENT QUESTIONNAIRE

此部分由控制帳戶以及作出投資決定的最終實益擁有人填寫。

This part should be completed by the ultimate person(s) who control(s) the account or make(s) investment decision.

閣下對結構性或衍生產品有沒有認識? (如閣下對衍生產品沒有認識, 閣下將不能交易衍生產品)
 Do you have any knowledge on structured or derivative product(s)? (You will not be allowed to trade derivative products if no related knowledge)

☐ 有 (請提供相關證明) ☐ 沒有
 Yes (Please provide supporting documents) No

1. 閣下有沒有參加過任何有關一般結構性或衍生產品之性質及風險的培訓課程 (例如: 由金融或學術機構所提供之課程)? Have you undergone or attended training courses or seminars that provide general knowledge of the nature and risks of structured or derivative products(s) (e.g. courses offered by financial or academic institutions)? <input type="checkbox"/> 有 <input type="checkbox"/> 沒有 Yes No 如有, 請詳細列明提供培訓或修讀課程之名稱, 日期: If yes, please specify the name of the course/seminars, the date they attended: 培訓或修讀課程之名稱: Name of the courses/seminars _____ 培訓或修讀以上課程之日期: Date of attending the above courses / seminars: _____	2. 閣下是否擁有與結構性或衍生產品有關的工作經驗 (請提供公司名稱、行業/業務性質、職位及在職日期/營業年期) Do you have any working experience related to structured or derivative product(s)? (Please state the Company Name, Industry/Business Nature, Position and the Employment of Services period/Operation of Business period) <input type="checkbox"/> 有 <input type="checkbox"/> 沒有 Yes No 如有, 請詳細列明 If yes, please specify 公司名稱: Company Name _____ 行業/業務性質: Industry/Business Nature _____ 職位: Position _____ 在職年期/營業年期 _____ 年 Year(s) of Employment / Business _____ years
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3. 閣下是否於過去三年內已進行五宗或以上有關以下任何產品的交易? 如有, 請從下列選擇 (如適用可選數項)
 Have you invested in any of the product(s) below more than five times in the past three years? If yes, please select the product(s) below (multiple options if applicable)

☐ 是 (請提供相關證明) ☐ 否
 Yes (Please provide supporting documents) No

☐ 交易所買賣換股債券 Exchange Traded Convertible Bonds ☐ 股票掛鉤產品 (ELI/ELN) Equity Linked Instruments / Notes (ELI/ELN)
☐ 牛熊證 (CBBC) Callable Bull/Bear Contract (CBBC) ☐ 交易所買賣基金 (ETF) Exchange Traded Funds (ETF) ☐ 供股權 Rights
☐ 期貨或期權合約交易 Futures and Options ☐ 股票期權 Stock Options ☐ 衍生認股證 Derivative Warrants

9. 身份聲明 DISCLOSURE OF IDENTITY

1. 閣下或閣下的授權人(如適用)是否證監會之持牌或註冊人士或持牌或註冊人士之董事或僱員?

Are you or your authorized person (if applicable) a licensed or registered person, director or employee of a person licensed by or registered with the SFC?

☐ 是 Yes ☐ 否 No 如是, 謹請說明 If yes, please specify:

(a) 機構及有關人士的名稱和中央號碼

Name of Person(s) and Institution(s) and CCASS Account number

(b) 閣下是否已接獲其僱主對開立帳戶的同意書?

Have you obtained the relevant consent letter from your employer for opening of this Account?

☐ 是 Yes ☐ 否 No

2. 閣下或閣下之任何關連人士, 是否任何公司之高級行政人員或董事或控制任何公司之人士而該公司之股份 在任何交易所或市場買賣?

Are you or any person connected with you a senior officer or director of any company whose shares are traded on any exchange or market or otherwise in control of such company?

☐ 是 Yes ☐ 否 No 如是, 謹請說明 If yes, please specify: _____

3. 政治人物 Politically Exposed Person

閣下及/或其董事、股東、實益擁有人及/或其授權人(如適用)、其各自的配偶、伴侶、子女或父母、或該名個人的子女的配偶或伴侶、或與該名個人有關係密切的人是否

(a) 在任何地方擔任或曾擔任重要的公職(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); 或

(b) 擔任地方政治人物(其中應包括但不限於地方 政府、區域政府部長或大型城市市長)

Are you and/or any of your director, shareholder, beneficial owner and/or your authorized person (if applicable), any of their respective spouses, partners, children or parents, or a spouse or a partner of a child of such individual, or close associate of such individual is or has been entrusted:

(a) with a prominent public function or holding senior public office in any place (which shall include a head of state, head of government, senior politician, senior government, judicial or military official, senior executive of a state-owned corporation and an important political party official); or

(b) as a sub-national political figure in any place (which shall include but not limited to head of regional governments, regional government ministers or large city mayors)

☐ 是 Yes ☐ 否 No

如是, 請提供資料如下: If yes, please provide

政治人物的名稱 Name of the politically exposed person _____

地方及所擔任的公職 Place and public function entrusted with _____

所擔任的公職的年期 Term of the public function entrusted with _____

與客戶之關係 Relationship with the client _____

4. 閣下或其任何董事、實益擁有人或股東是否一家上市公司?

Are you or any of your director, shareholder or beneficial owner a listed company?

☐ 是 Yes ☐ 否 No

如是, 其上市公司名為

If yes, the name of the listed company _____

股權比例

Shareholding _____

上市地點

Place of listing _____

5. 閣下或其集團中其他公司是否操作另一越秀證券帳戶?

Do you or any of your group company operate another account in Yue Xiu Securities?

☐ 是 Yes ☐ 否 No

如是, 其帳戶姓名為 If yes, the Account Name is : _____

(帳戶號碼 Account No: _____)

6. 閣下是否(與其他或實體)共同控制任何越秀證券的客戶 35%或以上的投票權?

Are you controlling 35% or more of the voting rights of any corporate clients of Yue Xiu Securities either by yourself or jointly with other?

☐ 是 Yes ☐ 否 No

如是, 其帳戶姓名為 If yes, the Account Name is : _____

(帳戶號碼 Account No: _____)

7. 閣下及/或其董事、股東、實益擁有人、合伙人、僱員及/或其授權人(如適用)及其各自的親屬是否越秀證券之任何董事或僱員或越秀證券之任何董事或僱員的親屬?

Are you and/or any of your director, shareholder, beneficial owner, partner, employee and/or your authorized person (if applicable) and their respective relatives an employee or director of Yue Xiu Securities or a relative of an employee or director of Yue Xiu Securities?

☐ Yes 是 ☐ No 否

如是, 謹請說明 If yes, please specify:

機構及有關人士的名稱 Name of Person(s) and Institution(s)

10.董事局委任決議書(如適用) CERTIFIED EXTRACT BOARD RESOLUTION / MINUTES (IF APPLICABLE)

☐ 董事局書面決議或核證摘錄已另外提供。

The board resolution/minutes or certified extract has been provided separately.

*董事局書面決議或核證摘錄需確認開設之帳戶種類(現金或孖展或期貨及期權)、授權簽署客戶協議條款及此開戶申請表格及可代表公司簽署的指定授權人士及相關的簽署式樣。

The board resolution/minutes should confirm the account type (cash or margin or futures & options), authorize the execution of the Client Agreement and this Account Opening Form and specify authorized person(s) to sign documents or place order on behalf of the Company with relevant signature specimen.

11.客戶確認及聲明 CLIENT'S ACKNOWLEDGEMENT AND DECLARATION

在簽署本開戶申請表格之前，請：

Prior to signing this Account Opening Application Form, please

(a)注意所有與越秀證券達成或通過越秀證券達成的交易均遵守客戶協議條款；並且

note that all transactions to be concluded with or through Yue Xiu Securities shall be subject to the Terms and Conditions of the Client Agreement; and

(b)請仔細閱讀客戶協議(包括風險披露聲明)，提問並在閣下希望時聽取獨立意見。

read the Client Agreement (including the Risk Disclosure Statement therein) carefully, ask questions and take independent advice if the Client so wishes.

吾等在此保證並聲明本《開戶申請表格》的資料均屬真實、完整、符合現況和正確的。吾等在此授權越秀證券可在任何時刻從吾等銀行、經紀或任何信用調查機構獲得參考信息和帳戶餘額(吾等放棄其中涉及的任何保密權利)，並且可以聯繫任何其他他人核查吾等所提供的資訊。而且，吾等在此授權越秀證券執行以查明吾等財務狀況和投資對象為目的的信用查詢和核查。吾等承諾將及時通知越秀證券本表格及其附件內所提供資料的變更。

We warrant and represent that the information contained in this Account Opening Form is in all respects true, complete, up-to-date and correct. Yue Xiu Securities is entitled to rely fully on such information and representations for all purposes, unless Yue Xiu Securities receives notice in writing of any change. Yue Xiu Securities is authorized to obtain at any time references and account balances from, including but not limited to, our bankers, broker or any credit agency (We waive any duty of confidentiality involved) and to contact any person for purposes of verifying the information contained herein. Further, we hereby authorize Yue Xiu Securities to conduct credit enquiries and checks for the purpose of ascertaining our financial situation and investment objective. We undertake to notify Yue Xiu Securities in writing forthwith upon any changes to any of the information contained herein.

吾等在此聲明並確認我們已經收到、閱讀和理解由本文件及其附件構成的《客戶協議》(「該協議」)，包括在上述《客戶協議》內所包含有關的《風險披露聲明》、個人資料(隱私)收集聲明和其他有可能由越秀證券與吾等之間不時以書面達成的補充協議、任何授權書，並且接受和同意受以上各項及其不時修訂及/或補充協議的約束。

We hereby declare and confirm that we have received, read and understood the Client Agreement of which this document and its attachments form a part (the "Agreement"), including the relevant Risk Disclosure Statements contained in the aforesaid Client Agreement, Personal Data (Privacy) Collection Statement and other supplements which may be entered into in writing between Yue Xiu Securities and us from time to time, any letters of authorizations, and accept and agree to be bounded by each of the above and as amended and/or supplemented from time to time.

吾等理解越秀證券有可能要求吾等提供有關本表格內資訊的其他資訊或提交文檔證明。吾等理解，吾等提交本表格以及越秀證券接受本表格不以任何方式表明帳戶開設已批准，越秀證券保留無條件拒絕申請的權利。

We understand that we may be required to provide additional information or submit documentary proof as to the information provided in this form when requested by Yue Xiu Securities. We understand that our submission of this form and the acceptance of this form by Yue Xiu Securities in no way implies approval for opening of the Account for us and that Yue Xiu Securities reserves the unconditional right to reject our application.

吾等在此申請開設如上所述類型的帳戶並同意受該協議約束(吾等確認已經收到該協議副本)，包括標準條件和條款以及相關附件和隨時有可能修訂和補充的相關協議。

We hereby apply to open the above type(s) of account and agree to be bound by the Agreement (receipt of a copy whereof is hereby acknowledged by us) including its standard Terms and Conditions and relevant Schedule(s) as the same may be amended and supplemented from time to time.

吾等確認收到附於《客戶協議》的個人資料(隱私)政策聲明，並理解此聲明(可能不時被修訂或補充)可透過向越秀證券數據保護人員提出書面請求，從越秀證券的網站 <http://www.yxsh.hk> 下載。吾等已閱讀並理解附於《客戶協議》的個人資料(隱私)政策聲明的規定，並同意接受可能不時被修訂或補充的個人資料(隱私)政策聲明的規定。關於在與越秀證券業務往來的過程中提供給越秀證券的或由越秀證券持有的吾等的任何代表(包括董事、僱員、授權人士、股東、最終實益擁有人及開戶表格提述的任何人)或任何第三方的個人資料或信息，吾等承諾及陳述將從吾等的代表取得必要的確認，以確認他們同意接受可能不時被修訂或補充的個人資料(隱私)政策聲明的規定，並且吾等同意將會因應越秀證券的要求，及時提供上述同意/協議的證明。

We acknowledge receipt of a copy of the Personal Data (Privacy) Collection Statement ("PDPCS") which is annexed to the Client Agreement and understand that the PDPCS (which may be amended or supplemented from time to time) is available for download from Yue Xiu Securities' website at <http://www.yxsh.hk> upon written request made to Yue Xiu Securities' Data Protection Officer. We have read and understood the provisions of the PDPCS annexed to the Client Agreement and agree to accept the provisions of the PDPCS as they may be amended or supplemented from time to time. In relation to personal data or information relating to any of our representatives (including directors, employees, Authorized Person(s), shareholders, ultimate beneficial owners and any person referred to in this Accounting Opening Form) or any third party which is provided to or held by Yue Xiu Securities in the course of its business dealings with Yue Xiu Securities, we undertake and represent that we have obtained the requisite confirmation from our representatives as necessary confirming that they agree to accept the provisions of the PDPCS as they may be amended or supplemented from time to time and we agree that we will promptly provide evidence of such evidence of such consent/agreement as and when requested by Yue Xiu Securities.

☐ 吾等不同意將吾等的個人資料用於有關《個人資料(隱私)條例》(香港法例第486章)並於《客戶協議》內所載的個人資料(隱私)政策聲明內所述的直銷用途。

(*如閣下未有在空格加上√但在此表格上簽署表示接納有關個人資料(隱私)政策聲明，將表示閣下不反對(即同意)閣下的個人資料可被用作相關的直銷用途或有關的個人資料轉移(即於個人資料(隱私)政策聲明內所述)。閣下可隨時撤銷該同意以停止接收任何推廣資料或物品。)

We object to the use and/or transfer of our personal data for direct marketing as specified in the PDPCS set out in the Client Agreement relating to the Personal Data (Privacy) Ordinance.

(*If you do not tick the box but sign on this Account Opening Form to signify your acceptance of the PDPCS, you will be regarded as having indicated that you have no objection and have consented to the use or transfer to other parties of your personal data for direct marketing as stated in the PDPCS. You may still opt-out from receiving any marketing information or materials at any time should you wish to withdraw your consent.)

只適用於孖展帳戶 For Margin Account clients only

吾等現申請越秀證券之孖展帳戶，並同意接受越秀證券的《客戶協議》內有關保證金的條款、其證券條款(包括《客戶協議》內的所有部分、風險披露聲明及於所述的條款)及其不時的修改所約束。吾等確認吾等已經按照吾等選擇的語言閱讀和理解《客戶協議》以及風險披露聲明。吾等已經按邀閱讀了《客戶協議》及《風險披露聲明》，提出問題並徵求獨立意見(如果吾等有此意願)。

We hereby apply for the Margin Account from Yue Xiu Securities and agree to be bound by the Client Agreement (including all Parts including the Risk Disclosure Statement thereunder and all Parts and Schedules thereto, in particular, the terms and conditions set out in Schedule 1 Additional Terms and Conditions for Securities Margin Financing in Part B contained therein) of Yue Xiu Securities as amended and/or supplemented from time to time in addition to its Client Agreement for Securities Trading. We confirm that we have read and understood the said Client Agreement and that the Risk Disclosure Statement contained therein has been provided to us in the language of our choice, and that We have been invited to read the same, to ask questions and to take independent advice if we wish.

吾等現承諾及確認吾等已授權越秀證券根據《客戶協議》內有關保證金的條款處理吾等的證券及證券抵押品。授權有效期由協議日期起計不超過 12 個月，有關授權可根據適用的法律及規則，在(i)協議訂立之年份的最後一天或之前及(ii)隨後之每個曆年的最後一天或之前，經吾等同意延續或被視為延續，而每一次延續有效期為 12 個月。

We acknowledge and confirm that we have authorized Yue Xiu Securities to deal with my securities and securities collateral in accordance with Clause of the aforesaid Client Agreement. This authority is given for a period of not more than twelve months from the date hereof and may be renewed by my consent, or deemed to be renewed, at or before the end of (i) the calendar year of the date hereof and (ii) each subsequent calendar year for, in each instance, a further twelve months in accordance with the applicable laws and rules.

名稱:
Name of Authorized Signatory:

簽署 / 簽署樣式及公司蓋章(如適用):
Authorized Signature / Specimen Signature with Company Chop (if applicable):

日期:
Date:

由本公司持牌代表或專業人士[#]填寫如文件不是在越秀證券員工面前簽署

BELOW TO BE COMPLETED AND SIGNED BY THE LICENSED REPRESENTATIVE OF YUE XIU SECURITIES OR A SUITABLE CERTIFIER[#] (if this document is not executed in front of Yue Xiu Securities' employee)

見證人姓名 (請使用正楷書寫) Name of Certifier

見證人資格或單位 (請使用正楷書寫) Qualification of Certifier

見證人地址 (請使用正楷書寫) Address of Certifier

見證人簽署 Witness Signature

日期 Date

[#]合適公證人：除越秀證券員工外，合適公證人應由其他持牌人或註冊人、持牌人或註冊人的聯繫人士、太平紳士或專業人士例如銀行分行經理、執業會計師、律師或公證人加以驗證。

[#] Suitable Certifier: any SFC Licensed or Registered Person other than the employees of Yue Xiu Securities, an affiliate of a SFC Licensed or Registered Person / a Justice of Peace / a professional person e.g. Branch Manager of a Licensed Bank / Practising Lawyer / Certified Public Accountant (Practising) / Notary Public)

12. 由持牌代表填寫 DECLARATION TO BE COMPLETED BY LICENSED REPRESENTATIVE

本人_____ (姓名以正楷填寫) 持有 CE 編號_____, 作為越秀證券的僱員及根據《證券及期貨條例》下獲發牌人士, 聲明及確認本人已按上述客戶選擇的中/英文*語言版本提供包含《風險披露聲明》的《客戶協議》, 且本人並邀請該客戶閱讀該等條款、提出問題及徵求獨立意見 (如客戶有此意願)。

I, _____ (Name in Block Letters) with C.E. Number _____ being a member of staff of Yue Xiu Securities, and a person licensed as a representative under the Securities and Futures Ordinance (Cap. 571 of the Laws of Hong Kong), hereby declare and confirm that I have provided the Risk Disclosure Statement contained in Part C of the Client Agreement in English/ Chinese* which is a language of the above Client's choice to the above Client and that I have invited the Client to read the same, to ask questions and to take independent advice (if the Client so wishes).

* 刪去不適用 Delete if not applicable

通過 By way of:

☐ 電話 Telephone

☐ 面對面 Face to Face

電話錄音號碼

Recorded Line No. _____

日期及時間

Date & Time _____

持牌代表簽署

Signature of Licensed Representative _____

簽署日期

Date of Signature _____

13. 客戶確認 ACKNOWLEDGEMENT BY CLIENT

吾等, _____ (姓名以正楷填寫) 確認吾等收到了《客戶協議》當中所包含的英文/中文*版本的《風險披露聲明》及附錄 (如適用), 其版本語言與吾等選擇一致, 並且吾等已經受邀閱讀了此聲明, 提問並聽取了獨立意見 (如果吾等希望聽取)。

We, _____ (Name in Block Letters), hereby acknowledge and confirm that we have been provided with the Risk Disclosure Statement contained in Part C of the Client Agreement in English/ Chinese* which is a language of our choice and that we have been invited to read the same, to ask questions and to take independent advice (if we so wish).

授權簽署及公司印章

Authorized Signature with Company Chop

日期

Date

* 刪去不適用 Delete if not applicable

14. 公司批核 APPROVAL BY THE COMPANY

經由越秀證券有限公司承認及接納

Acknowledged and Accepted by

For and on behalf of Yue Xiu Securities Company Limited

授權簽署及公司蓋章

Authorized Signature with Company Chop

開戶文件清單 Account Opening Checklist For Corporate Account :

客戶簽署文件 Document for Client' s Signing

- ☐ 填妥及簽署的開戶申請表
Duly Completed and Signed Account Opening Application Form
- ☐ 常設授權:客戶款項
Standing Authority for Client Money
- ☐ 常設授權:客戶證券 (適用於孖展賬戶)
Standing Authority for Client Securities (For Margin Account)
- ☐ 已填妥及簽署的法律檔接收人委任表格 (適用於海外實體)
Duly Completed and Signed Process Agent Appointment Form (For Overseas Entities)
- ☐ 已填妥及簽署的客戶投資風險問卷(如適用)
Duly Completed and Signed Customer Investment Questionnaire (if applicable)
- ☐ 中港通服務承認書(如適用)
China-HK Connect Services Acknowledgement (if any)

經核證之證明文件 Certified True Copy of Supporting Documents

- ☐ 公司註冊證書及名稱更改文件
Certificate of Incorporation and Certificate(s) of Change of Name (if any)
- ☐ 商業登記證(適用於香港實體)
Business Registration Certificate (For Hong Kong Entities)
- ☐ 公司組織章程大綱及細則及其他章程文件
Memorandum & Articles of Association & Other Constitutional Documents with Amendments (if any)
- ☐ 董事及股東名單
Latest Register of Director(s) & Registered of Member(s)
- ☐ 董事、授權人士及大股東(股權不小於10%)的身份證或護照*
ID/Passport of ALL Director(s) and each Authorized Signatory(ies) & Substantial Shareholders (holding 10% or more)
- ☐ 董事會決議
Board Resolution
- ☐ 所有權架構圖/公司組織架構圖
Ownership Chart/ Company Organization Chart
- ☐ 銀行戶口證明(例如銀行月結單或存摺等)
Bank Account Proof (e.g. bank statement or bank passbook, etc)
- ☐ 近三個月的地址證明
Proof of Address Issued Within 3 Months
- ☐ 表格W-8BEN-E
Form W-8BEN-E
- ☐ 最近經審計的財務報表/年報 (如適用)
Latest Audited Financial Statement / Annual Report (where appropriate)
- ☐ 過去六個月內由公司的當地註冊代理人發出之職權證明書(適用於海外實體)
Certificate of Incumbency issued by the registered agent issued within last 6 months (For Overseas Entities)
- ☐ 過去六個月內由公司的當地註冊代理人發出之存續證明書(適用於海外實體)
Certificate of Good Standing issued by the local authority within last 6 months (For Overseas Entities)
- ☐ *對於海外實體，董事、授權人士及大股東需提供其個人近三個月的地址證明
* For Overseas Entities, Director(s) and each Authorized Signatory(ies) & Substantial Shareholders need to provide their address proof issued within 3 months

金融機構 (客戶託管戶口) Additional Forms for Financial Institution Who Opens Client Account

- ☐ 金融機構反洗錢問卷
AML questionnaire for Financial Institution

專業投資者額外文件 Additional Forms for Professional Investor

- ☐ 專業投資者聲明書 (附上投資經驗及資產證明文件)
Professional Investor Declaration Form (With supporting document for investment experience and portfolio)



越秀證券有限公司

YUE XIU SECURITIES COMPANY LIMITED

總辦事處：香港灣仔港灣道30號新鴻基中心49樓17-37室

Principal Office: Room 17-37, 49/F, Sun Hung Kai Centre, 30 Harbour Road, Wanchai, Hong Kong

網址 Website : www.yxsh.com.hk

電話 Telephone : (852) 3925 9888

傳真 Facsimile : (852) 3925 9980