

客戶名稱 C l i e n t N a m e			
戶口賬號 A / C N o .			
日 期 D a t e	年	月	日



寶生證券及期貨有限公司

Po Sang Securities and Futures Limited

中銀香港集團成員

A member of BOCHK Group

中央編號 CE No. ACI778

證券賬戶開戶書(公司)

Securities Account Opening Form (Corporate)

客戶資料聲明(公司)

Client Information Statement (Corporate)

作為開立賬戶程序的一部份，客戶需填寫此申請表並提供證明文件(如適用，包括因任何法律、規例或任何監管或稅務機構所發出的指引而要求取得的證明或其他文件)。從客戶獲取的資料是為了遵守寶生證券及期貨有限公司(“寶生”)的客戶盡職審查政策、本地法律及條例及/或國際標準所訂立的要求。在國際間打擊洗黑錢、恐怖活動融資及詐騙活動中，此程序至關重要。本申請表的目的是為新或現有客戶開立賬戶及/或申請服務。如客戶未能提供有關資料(# 部分除外)，寶生可能無法處理客戶的申請及/或向客戶提供服務。請參閱寶生的「資料政策通告」或寶生及其相關機構不時以任何名稱發出的有關個人資料的使用、披露及轉移的一般政策的其他文件。對於現有客戶，只要以前已提供予寶生的特定背景資料並無更改，客戶可能無需提供該等資料。如自客戶上一次填寫賬戶開立/修訂文件後該等資料有任何變更，為遵守寶生的客戶盡職審查政策，客戶須從速提供最新資料予寶生，並無論如何須於資料變更後 30 天內提供有關資料。現時已提供予寶生的資料會視為有效及保持不變，直至寶生另行收到通知。儘管如此，寶生有權根據其認為恰當的任何資料來源以更新客戶現存的資料，如有需要寶生可要求客戶確認有關資料。

As part of the account opening process, the Client is required to complete this application form and to provide supporting documents(including supporting and other documents required under any laws, regulations or guidelines issued by any regulatory or tax authorities, if applicable). The information is required from the Client for Po Sang Securities and Futures Limited (“Po Sang”)’s compliance with its customer due diligence policy, local laws and regulations and/or international standards. It forms an important part of the international efforts to combat money laundering, terrorist financing and fraudulent activity. This application form is for the purpose of opening accounts and/or applying for services by new or existing Clients. Failure to provide the required information (# items excluded) may result in Po Sang inability to process the Client’s application and/or to provide services to the Clients. Please refer to Po Sang’s “Data Policy Notice” or documents under other relevant headings issued by Po Sang and its associate entities from time to time relating to the general policies on the use, disclosure and transfer of personal data. For existing Clients, it may not be necessary for the Client to provide certain background information which the Client has furnished to Po Sang previously, provided that such information remains unchanged. If any such information has changed since the Client has last completed the account opening/ amendment documentation, then for the purpose of Po Sang to comply with its customer due diligence policy, the Client must promptly provide Po Sang with the update information and in any event, not later than 30 days after such change. Existing information furnished to Po Sang is deemed to be valid and unchanged until Po Sang is otherwise notified. Notwithstanding that, Po Sang has the right to rely on the information obtained or that comes to its knowledge from any source it may consider appropriate to update Client’s existing information in Po Sang and may require Client’s confirmation if necessary.

請在適當方格內填上☑

Please mark ☑ as appropriate

部分的資料並非必須填寫。

Completion of the sections with # is optional.

* 提供身份證明文件及最近三個月住址證明文件以供核實、影印及存檔。

Provide identity document(s) and proof residential address (Within the past 3 month) for our verification, copy and filing.

1 證券交易賬戶類別 Type of Securities Trading Account	
<input type="checkbox"/> 現金帳戶 Cash Account	<input type="checkbox"/> 保證金帳戶 Margin Account
2 公司資料 Company Information	
公司名稱 Name of Company	中文 Chinese 英文 English
經營名稱(如有別於上述) Trading Name (if different from above)	
登記/註冊文件 Registration / Incorporation Document	商業登記證號碼 Business Registration Certificate No.
	公司註冊證書號碼 Certificate of Incorporation No.
	其他註冊號碼 Other Incorporation No
	註冊國家/地區 Country / Region of registration / Incorporation
註冊日期 Date of Incorporation	
註冊地址 Registered Address	
經營地址(如與註冊地址有異) Business Address (if different from Registered Address)	
責任形式 Owners Liability	<input type="checkbox"/> 獨資商號 Sole Proprietorship <input type="checkbox"/> 合夥商號 Partnership <input type="checkbox"/> 其他(請述明): Other (please specify): <input type="checkbox"/> 有限公司 Limited Company (已發行股票類別: (Type of issued share <input type="checkbox"/> 記名 Registered <input type="checkbox"/> 不記名 Unregistered)
公司業務性質 Nature of Business	<input type="checkbox"/> 金融業 Financial Services <input type="checkbox"/> 保險業 Insurance Services <input type="checkbox"/> 房地產業 Real Estate <input type="checkbox"/> 製造業 Manufacturing <input type="checkbox"/> 建造業 Construction <input type="checkbox"/> 批發業 Wholesale <input type="checkbox"/> 零售業 Retail <input type="checkbox"/> 進出口貿易業 Imports & Exports <input type="checkbox"/> 運輸業 Transport <input type="checkbox"/> 飲食業 Catering <input type="checkbox"/> 旅遊業 Tourism <input type="checkbox"/> 通訊業 Communication <input type="checkbox"/> 資訊科技業 Information Technology <input type="checkbox"/> 其他(請述明): Others(please specify)

總年度營業額 (港幣) Total Annual Business Turnover (HKD)	<input type="checkbox"/> 少於\$2,500,000 Less than \$2,500,000 <input type="checkbox"/> \$2,500,001 - \$5,000,000 <input type="checkbox"/> \$5,000,001 - \$10,000,000 <input type="checkbox"/> \$10,000,001 - \$25,000,000 <input type="checkbox"/> \$25,000,001 - \$50,000,000 <input type="checkbox"/> \$50,000,001 - \$100,000,000 <input type="checkbox"/> \$100,000,001 - \$500,000,000 <input type="checkbox"/> \$500,000,001 或以上 (請說明: _____) \$500,000,001 or above (please specify: _____)
資金來源 Source of Funds	<input type="checkbox"/> 投入資金 Capital Injection <input type="checkbox"/> 投資收益 Return on Investment <input type="checkbox"/> 銷售收益 Sales proceeds <input type="checkbox"/> 託管資金 Trust Property <input type="checkbox"/> 其他 (請上述明): Other (Please specify):
聯絡電話/資料 Contact Telephone/Information	公司電話(1) Business Phone No(1) 公司電話(2) Business Phone No(2) 流動電話 Mobile Phone 電郵地址 E-mail Address 傳真號碼 Fax No
郵寄單據往 Correspondence Address	<input type="checkbox"/> 公司註冊地址 Registered Address <input type="checkbox"/> 經營地址 Business Address <input type="checkbox"/> 電子郵箱 Email Address <input type="checkbox"/> 其他 Other
就反洗黑錢條例或反恐怖分子籌資活動條例, 閣下的公司是否維持“無犯罪紀錄”? Does your corporation maintain a “no conviction record” under the anti-money laundering or anti-terrorist financing related legislation?	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
閣下的公司所經營的業務是否特別容易蒙受較高的洗黑錢風險 (例如找換業或博彩業等會接觸大量現金之行業)? Does your corporation operation in the business which is particularly susceptible to money laundering risk (For example, money changer or casino business that handles large amount of cash)?	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No

3 公司的相關人士資料 Particulars of Corporate Related Parties

注意:非香港永久性居民身份證持有人必須提供固定地址(長期居留)
Note: Non-Hong Kong permanent identity cardholders must provide a permanent address (permanent residence).

身份(可選擇多項) Identity (select as many as applicable)	資料 Particulars																
<input type="checkbox"/> 獨資經營者 Sole proprietor <input type="checkbox"/> 合夥人 Partner <input type="checkbox"/> 主要股東 (持 10%以上股權) Substantial Shareholder (10%or more Shareholding) 所佔股權% shareholding % _____ <input type="checkbox"/> 董事 Director <input type="checkbox"/> 被授權簽字人 Authorized Signatory	<table border="1"> <tr> <td>姓名 Name</td> <td> <input type="checkbox"/> 先生 Mr. <input type="checkbox"/> 女士 Mrs. <input type="checkbox"/> 小姐 Miss </td> </tr> <tr> <td>英文 English</td> <td>中文 Chinese</td> </tr> <tr> <td>身份證/護照號碼*(簽發國家/地區): I.D/Passport No*(Country / Region of Issue):</td> <td>國籍(國家/地區): Nationality(Country /Region):</td> <td>出生日期: Date of Birth:</td> </tr> <tr> <td>職業 Occupation</td> <td>行業 Business</td> <td></td> </tr> <tr> <td colspan="3">住宅地址★ Residential Address★</td> </tr> <tr> <td colspan="3">長期居留地址是否與住宅地址相同? Permanent Address is same as Residential Address? <input type="checkbox"/> 是 Yes <input type="checkbox"/> 否; 如否, 請註明長期居留地址 No; If no, please state Permanent Address _____ </td> </tr> </table>	姓名 Name	<input type="checkbox"/> 先生 Mr. <input type="checkbox"/> 女士 Mrs. <input type="checkbox"/> 小姐 Miss	英文 English	中文 Chinese	身份證/護照號碼*(簽發國家/地區): I.D/Passport No*(Country / Region of Issue):	國籍(國家/地區): Nationality(Country /Region):	出生日期: Date of Birth:	職業 Occupation	行業 Business		住宅地址★ Residential Address★			長期居留地址是否與住宅地址相同? Permanent Address is same as Residential Address? <input type="checkbox"/> 是 Yes <input type="checkbox"/> 否; 如否, 請註明長期居留地址 No; If no, please state Permanent Address _____		
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4 財務狀況 Financial Information	
已發行股本 Issued Share Capital	繳足股本 Paid-up Capital
淨資產值 (以港元計算) Net Asset Value (in HK\$)	
年度稅後純利 Annual Net Profit (after tax)	
港幣 HK\$ _____	財政年度 for financial year _____
港幣 HK\$ _____	財政年度 for financial year _____
擁有房地產物業 Ownership of real property <input type="checkbox"/> 有 Yes <input type="checkbox"/> 沒有 No 物業地址 Address of Property: _____	
銀行資料 / 結算帳戶資料 Bank Details / Settlement Account Information	
客戶謹此指定以下的銀行帳戶為其作結算用途的結算帳戶。 客戶謹此指示及授權 寶生將所有及任何應付予客戶之款項及金錢存入以下銀行帳戶。 寶生將在相關證券法例及規則所規定的時限內把該些款項及金錢存入結算帳戶中 (或以其認為合適的其他方式付予客戶), 但寶生不會對基於任何原因而延遲存入款項令客戶蒙受的任何虧損、開支或賠償承擔任何責任。 The following bank account is hereby designated by the Client as the Settlement Account for settlement purpose. The Client hereby instructs and authorizes Po Sang to deposit any and all moneys and funds payable to the Client into the following bank account. Po Sang agrees to deposit such moneys and funds into the Settlement Account (or pay to the Client through other methods as it may determine appropriate) within such period required under the relevant securities laws and regulations but Po Sang shall not be held liable for any loss, expenses or damages suffered by the Client as a result of any delay in depositing such payments caused by any reason whatsoever.	
銀行名稱 Bank Name	貨幣 Currency
帳戶持有人名稱 Account Holder Name	
帳戶號碼 Account Number	
若為香港以外銀行帳戶, 請提供地區及 SWIFT 號碼 If bank account is outside Hong Kong, please state location and SWIFT code (if applicable) _____	

5 公司的實益擁有人 Beneficial Owners of Company

公司的實益擁有人*之資料

Particulars of Beneficial Owners* of the Company:

	實益擁有人(1) Beneficial Owner (1)	實益擁有人(2) Beneficial Owner (2)	實益擁有人 (3) Beneficial Owner (3)
姓名 Name	_____	_____	_____
香港身份證/護照號碼* (簽發國家/地區) HKID/Passport No. * (Country/Region of Issue)	_____	_____	_____
住址 Home Address	_____	_____	_____

*實益擁有人指符合以下說明的個人

* Beneficial Owner means an individual:

- 直接或間接地擁有或控制(包括透過信託或持票人股份持有)客戶已發行股本的不少於 10%;
who owns or controls, directly or indirectly (including through a trust or bearer share holding), not less than 10% of the issued share capital of the Client;
- 直接或間接地有權行使在客戶的成員大會上的投票權的不少於 10%，或支配該比重的投票權的行使；或
who is, directly or indirectly, entitled to exercise or control the exercise of not less than 10% of the voting rights at general meetings of the Client;
- 行使對客戶的管理最終之控制權；或
who exercise ultimate control over the management of the corporation; or
- 客戶代表其行事之個人。
on behalf of whom the Client is acting.

6 投資經驗及目的 Investment Experience & Objectives

投資知識：
Investment Knowledge 全無 None 有限 Limited 較好 Some 良好 Good

投資經驗 Investment Experience :	沒有 No	1 年以下 Below 1 year	1-3 年 1-3 years	3-5 年 3-5 years	5 年以上 Above 5 years
證券及債券 Securities & Debentures	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
期貨 Futures	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
期權/認股權證 Options/Warrants	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
外匯/貴金屬 FX/Precious Metals	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
其他 Others : _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

投資目的：
Investment Objectives 資本投資
Capital Investment 對沖
Hedging 套戩
Arbitrage 投機
Speculation

其他 (請述明) Other (Specify) _____

7 投資者分類 Investment Characterization

Have you had adequate knowledge on derivative products?
閣下是否對衍生產品有認識? Yes 是 No 否

If you have the knowledge on derivative products, please answer the following questions
若閣下對衍生產品有認識，請回答以下問題：

Have you ever undergone training or attended courses on derivate products with general knowledge of the nature and risks of derivatives?
閣下是否曾接受有關衍生產品性質和風險的一般知識培訓或修讀相關課程? Yes 是 No 否

Have you had current or previous work experience related to derivative products?
閣下是否從現時或過去擁有與衍生產品有關的工作經驗? Yes 是 No 否

Have you executed five or more transactions within the past three 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? Yes 是 No 否

8 身份聲明 Identity Declaration

a. 政治人物*

Politically Exposed Persons("PEP")*

客戶聲明及確認其最終實益擁有人、股東、董事及獲授權人士均不是政治人物。
The Client declares and confirms that none of the ultimate beneficial owner / shareholder / director / Authorized Signatory of the Client is a PEP.

客戶聲明及確認其最終實益擁有人、股東、董事或獲授權人士乃政治人物*，詳情如下：
The Client declares and confirms that the ultimate beneficial owner / shareholder / director / Authorized Signatory of the Client is a PEP, and details are provided below:

擔任公職人士之姓名

Name of person entrusted with public function: _____
公共機構名字

Name of the public body _____

職位 _____ 與客戶關係: _____

Position: _____ Relationship with Client _____

國家/地區 _____ 服務年期: _____

Country/Region: _____ Year of Service _____

* 政治人物指

* Politically Exposed Person ("PEP") means:

- a. 擔任或曾經擔任重要公職的個人(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，但不包括任何中級或更低級官員)；
an individual who is or has been entrusted with a prominent public function (including a head of state, head of government, senior politician, senior government, judicial or military official, senior executive of a state-owned corporation or an important political party official, but not including any middle-ranking or more junior officials);
- b. (a)段所指的個人配偶、伴侶、子女或父母、或該名個人的子女的配偶或伴侶；或
a spouse, partner, child or parent of an individual falling within paragraph (a), or a spouse or partner of a child of such an individual; or
- c. 與(a)段所指的個人關係密切的人。
a "close associate" of an individual falling within paragraph (a).
"關係密切的人":如某人符合以下說明，該人即屬與某名個人(首述個人)關係密切的人: (i) 該人是與首述個人有密切業務關係的個人(包括在首述個人屬某法人或信託的實益擁有的情況下，同樣屬該法人或信託的實益擁有的個人); 或(ii)該人是屬某法人或信託的實益擁有的個人，而該法人或信託是為首述個人的利益而成立的。
"close associate": a person is a close associate of an individual if the person is: (i) an individual who has close business relations with the first-mentioned individual, including an individual who is a beneficial owner of a legal person or trust of which the first-mentioned individual is also a beneficial owners; or (ii) an individual who is the beneficial owner of a legal person or trust that is set up for the benefit of the first-mentioned individual

b. 客戶之任何董事、主要股東、最終實益持有人、最終主要實益持有人或獲授權人士是否與寶生及其附屬或聯營公司之董事或僱員有任何關係？

Does any director, substantial shareholder, ultimate beneficiary, ultimate principal beneficial owner or Authorized Person of the Client have any relationship with the director(s) or employee(s) of Po Sang or any of its subsidiaries or associated companies?

否 No

是，客戶與寶生及其附屬或聯營公司之董事或僱員有以下關係

Yes, the client has the following relationship with the director(s) or employee(s) of Po Sang or any of its subsidiaries or associated companies:

董事或僱員姓名/關係:

Name of Director or Employee /Relationship _____

c. 客戶是否香港交易所或任何證券、期貨或商品交易所的交易所參與者或證監會之持牌人或註冊人或受任何海外的證券或期貨交易監管機構所規管或監管？

Is the Client a participant of the Hong Kong Exchange or any stock, futures or commodities exchange or a licensed or registered person of the Securities and Futures Commission or regulated or supervised by any overseas regulatory agency on securities and futures trading?

否 No

是 (請詳述)

Yes (Please provide details): _____

d. 客戶是否從事買賣、收購、處置或持有投資、股票、證券、債權證或期貨或期權合約的業務 (不管是以主事人或代理人身份)?
Is the Client involved in the business of the dealing, acquisition, disposal or holding of investments, shares, securities, debentures or futures or options contracts, whether as a principal or agent?

否 No

是 Yes

9	額外披露 Additional Disclosure		
<p>其他戶口詳情(無論個人、聯名、公司、託管), 客戶或客戶代表他人、公司、有直接或間接利益在 寶生及其附屬或聯營公司由本公司實益持有、擁有或運作。</p> <p>Particulars of any and all other accounts (whether individual, joint, corporate, trustee) beneficially held, owned or operated by the Client for or on behalf of the Client or for any another person(s), body or corporation or in which the Client have an interest (whether direct or indirect) with Po Sang or any of its subsidiaries or associated companies.</p>			
戶口名稱 Account Name: _____		戶口號碼 Account No. _____	關係 Relationship _____
戶口名稱 Account Name: _____		戶口號碼 Account No. _____	關係 Relationship _____

10	交易授權及簽署安排 Trading Authorization and Signing Arrangement		
<p>a. 交易授權 Trading Authorization: 以下任何 _____ 位客戶現授權下列人仕以書面或口頭指示在本帳戶進行交易事宜: Any _____ of the undersigned individual(s) is or are authorized on behalf of the Client to place the oral or written instructions for trade.</p>			
獲授權人仕姓名 Authorized Person's Name		香港身份證或護照號碼及簽發國家/地區 HKID Card / Passport No. and Country / Region of Issue	簽名式樣 Specimen Signature
(1)			
(2)			
(3)			
<p>b. 簽署安排 Signing Arrangement 以下任何 _____ 位授權人士簽署均可代表客戶對帳戶進行資金/股票存入或提取, 發出結算指示和其他帳戶有關指示, 而授權人士之真實簽名樣本已於其姓名旁邊註明 Any _____ of the undersigned individuals are authorized to deposit/withdraw fund/shares to/from the account, give settlement instructions and any other instructions on behalf of the Client and the specimen signatures appearing against their names are the true signatures of the authorized individuals:</p>			
獲授權人仕姓名 Authorized Person's Name		香港身份證或護照號碼及簽發國家/地區 HKID Card / Passport No. and Country / Region of Issue	簽名式樣 Specimen Signature
(1)			
(2)			
(3)			

11	相關保證金融資帳戶 - (只適用於證券帳戶 (保證金)) Related Margin Financing Account(s) - (For Securities Account (Margin) only)		
<p>a. 客戶或客戶之其他集團成員公司之股東或最終實益擁有人無論是單獨或與配偶是以控制寶生任何客戶的 35%或以上之表決權? Does any shareholder or ultimate beneficial owner of the Client or its group member company(ies), either alone or with his/her spouse, who is in control of 35% or more of the voting rights of the Client, have a margin account with Po Sang?</p> <p><input type="checkbox"/> 否 <input type="checkbox"/> 是 如是,請說明: 賬戶號碼及賬戶持有人姓名 No Yes if yes, please state Account No & Name of the Account Holder _____</p>			
<p>b. 與客戶屬同一公司集團的任何成員是否同是寶生之客戶? Does any member of the same group of companies of the Client also a client of Po Sang?</p> <p><input type="checkbox"/> 否 <input type="checkbox"/> 是 如是,請說明: 賬戶號碼及關係公司名字 No Yes if yes, please state Name of Related Company _____</p>			

12 賬戶服務申請 Account Services Application**結單語言選項 STATEMENT LANGUAGE SELECTION**

結單語言 Statement Language: 英文 English 繁體中文 Traditional Chinese 簡體中文 Simplified Chinese

電子結單服務 E-STATEMENT SERVICE

客戶申請電子結單服務 Client applies to use e-Statement Service :

電郵提示語言 E-mail Alert Language: 英文 English 繁體中文 Traditional Chinese 簡體中文 Simplified Chinese

結單種類 Statement Type: 月結單 Monthly Statement 日結單 Daily Statement

(非網上交易) 電子通知/短訊服務(Non-Internet Trading)E-NOTIFICATION/SHORT MESSAGING SERVICE

客戶申請使用電子通知/短訊服務 Client applies to use E-Notification / Short Messaging Service:

電子通知服務/短訊服務語言 E-Notification Service / Short Messaging Service Language 英文 English 繁體中文 Traditional Chinese 簡體中文 Simplified Chinese

電子通知服務 E-Notification Service 短訊服務 Short Messaging Service Language

互聯網交易帳戶活動即時通知 Prompt Notification on Internet Account Activities

選擇不收取「執行交易」即時通知（不適用於成交盤即時通知）
Opt Out of Receiving Prompt Notification of Trade Execution (not applicable to Prompt Notification of Executed Order)
本人/吾等確認已閱讀、明白及同意“選擇互聯網交易不收取「執行交易」即時通知之風險披露聲明”，並明白本人/吾等的帳戶可能因此而招致損失。
I/We confirmed that I/We have read, understood and agreed “The Risk Disclosure Statement of Opt Out of Receiving Prompt Notification of Trade Execution on Internet Trading”, and understood that my/our account may cause loss from the Opt Out.

賬戶交易密碼 ACCOUNT TRADING PASSWORD

領用 Apply 未有領用 Not Apply 網上交易密碼 Internet trading PIN
 領用 Apply 未有領用 Not Apply 電話交易密碼 Phone trading password

13 客戶聲明 Declarations By Client

本公司(「客戶」)謹此聲明此賬戶開戶書上提供之所有資料均為有效、真實、完整、準確及最新，且客戶授權寶生證券及期貨有限公司(「寶生」)從其認為合適的來源驗證該等資料。客戶進一步同意如該等資料有任何變更會從速以書面形式通知寶生，並無論如何須於資料變更後30天內提供任何替代或文件的核證副本(如適用，包括因任何法律、規例或任何監管或稅務機構所發出的指引而要求取得的證明或其他文件)。客戶確認，寶生有權根據其認為恰當的任何資料來源以更新其現存的資料，如有需要寶生可要求客戶確認有關資料。除上述提供的資料外，客戶清楚知悉寶生有權要求客戶提供更多相關的資料或證明文件。客戶清楚寶生有權隨時聯絡任何人士，包括客戶往來之銀行或經紀或任何信貸機構，以求驗證就申請開戶所提供的資料。客戶明白客戶遞交此開戶書和寶生接收此開戶書，並非表示寶生同意開立賬戶予客戶，並清楚寶生保留權利拒絕客戶的開戶申請，而無需給予任何理由。

The Company (“The Client”) declares that all information given in this Account Opening Form and the supporting documents provided by the Client to Po Sang Securities and Futures Limited in relation to this application is valid, true, complete, and up-to-date and the Client authorizes Po Sang Securities and Futures Limited (“Po Sang”) to verify such information from any source it may consider appropriate. The Client further agrees to notify Po Sang promptly in writing upon occurrence of any changes to that information, in any event not later than 30 days after such change, and to provide certified copies of any replacement or supporting documents (including supporting and other documents required under any laws, regulations or guidelines issued by any regulatory or tax authorities, if applicable). The Client acknowledges that Po Sang has the right to rely on the information obtained or that comes to its knowledge from any source it may consider appropriate to update the Client’s existing information and may require the Client’s confirmation if necessary. The Client understands that the Client may be required to provide additional information or submit documentary proof as to the information provided in this form when requested to do so. Po Sang is authorized at any time to contact anyone, including but without limitation to any banks or brokers engaged by the Client or any credit agency, for purposes of verifying the account opening information. The Client understands that the Client’s submission of this form and the acceptance of this form by Po Sang in no way implies Po Sang’s approval for opening of an account for the Client and that reserves the right to reject our application without giving reasons.

適用於申請電子通知/短訊服務的客戶 Applicable to Clients applying for E-Notification/Short Messaging Service

本公司(「客戶」)確認已閱讀及明白寶生的《電子通知/短訊服務條款及細則》，並同意接受相關條款的約束(以寶生不時修訂的版本為準)。客戶亦同意成功申請電子通知/短訊服務後，將透過電子通知/短訊接收指令的執行結果，寶生將不會另行致電客戶覆實。客戶同意電子通知/短訊將透過客戶已登記於寶生現存記錄的電郵地址/流動電話號碼發出，如該電郵地址/電話號碼有任何改變，客戶將迅速通知寶生，而寶生有權依據該記錄，直至接獲客戶之更改書面通知為止。

The Company (“The Client”) confirm that the Client have read and understood the Terms and Conditions for E-Notification / Short Messaging Service of Po Sang, and agree to abide by them (as amended by Po Sang from time to time). the Client also agree that upon successful application of the E-Notification / Short Messaging, the Client will receive the result of execution of orders via email / short

messages and Po Sang will not notify the Client by personal telephone call. The Client agree that E-Notification / short messages will be sent to the Client's E-mail address/mobile phone number registered in Po Sang's existing record. The Client will notify Po Sang promptly of any change of such E-mail address/phone number and Po Sang is entitled to rely on such record until it receives my written notice of such change.

適用於申請電子結單服務的客戶 Applicable to Clients applying for e-Statement Service

本公司(「客戶」)確認已閱讀及明白寶生的《電子結單服務條款及細則》，並同意接受相關條款的約束(以寶生不時修訂的版本為準)。客戶亦同意成功申請電子結單服務後，寶生將停止寄發郵寄版結單。客戶同意電子提示電郵將透過客戶已登記於寶生現存記錄的電郵地址發出，如該電郵地址有任何改變，客戶將迅速通知寶生，而寶生有權依據該記錄，直至接獲客戶之更改書面通知為止。

The Company ("The Client") confirms that the Client has read and understood the Terms and Conditions for e-Statement Service of Po Sang, and agree to abide by them (as amended by Po Sang from time to time). The Client also agrees that upon successful application of the e-Statement Service, Po Sang will cease to send the physical form of the statements. The Client agrees that e-Alert mail will be sent to the Client's e-mail address registered in Po Sang's existing record. The Client will notify Po Sang promptly of any change of such e-mail address and Po Sang is entitled to rely on such record until it receives the Client's written notice of such change.

本公司(「客戶」)謹此承諾並確認:

The Company ("the Client") hereby acknowledge and confirm that:

- 客戶已收到、閱讀及明白證券交易帳戶協議內之條款(包括其附表、附錄及附件(如有)) (「協議」) 而客戶接納並同意受該等條款約束;
The Client has received, read and understood the Terms and Conditions contained in the Agreement for Securities Trading Account (and the schedules, appendices and annexes thereto, if any) (the "Agreement"), and the Client accepts to be bound by them;
- 客戶是為結算、保管、保證金、交易或其他用途提供予或存入(或將來提供予或存入) 寶生的所有金錢、資金、證券、抵押品或其他資產之實益擁有人，寶生無需另行查證該些金錢、資金、證券、抵押品或資產的來源或擁有權。如客戶並非實益擁有人，客戶須立即通知寶生實益擁有人的身份及資料(或該資料其後的變更)。寶生有絕對酌情權決定是否接納該等金錢、資金、證券、抵押品或資產及/或有關指示，且無須因為其接納或拒絕而引致(直接或間接)或與之相關客戶所蒙受的任何損失、損害賠償、開支或利潤損失承擔法律責任。
The Client is the beneficial owner of all moneys, funds, securities, collateral or other assets provided or deposited or to be provided or deposited by the Client to or with Po Sang for settlement, safekeeping, margin, trading or other purposes, and Po Sang shall not be required to inquire into the source or ownership of such moneys, funds, securities, collateral or properties. In the event that the Client is not the beneficial owner, the Client shall promptly inform Po Sang of the identities and particulars of the beneficial owner(s) and any subsequent changes to such information. Po Sang shall have the absolute discretion in accepting or refusing any or all such moneys, funds, securities, collateral or properties and/or the relevant instructions, and Po Sang shall not be held liable for any loss, damages, expenses, loss of profit whatsoever suffered and/or incurred by the Client arising out of (directly or indirectly) or in connection with such acceptance or refusal.
- 寶生可透過通知修訂、更改、刪減或取代本協議之任何條款或加入新的條款。本協議內的任何條文在運作上不會消除、免排除或限制在香港法律之下客戶之任何權利或寶生之任何責任。
Po Sang may by notice to the Client change, amend, delete or substitute any of the terms in or add new terms to the Agreement. No provision of this Agreement shall operate to remove, exclude or restrict any rights of the Client or obligations of Po Sang under Hong Kong law.
- 客戶授權寶生指示、聘用及委任其接絕對酌情權視為適當的執行或結算經紀、代理人、託管人、代名人、海外經紀及交易商(包括寶生的分行或附屬成員)，以代表客戶執行、進行、交易、實施、結算及交收任何指示及交易。客戶知悉及同意承擔因相關代理人違約、未能履行其責任，或相關代理人破產、停業，而導致客戶無法完成交易或蒙受損失之風險，且寶生不須對上述引致的損失或損害承擔責任。
The Client authorizes Po Sang to instruct, engage and appoint such executing or clearing brokers, agents, custodians, nominees, overseas brokers and dealers (including branches or affiliates of Po Sang) as Po Sang may in its absolute discretion deem fit to execute, effect, trade, implement, clear and settle any instructions and transactions on behalf of the Client. The Client acknowledges and accepts the risks of loss or failure in completion of transactions in the event of the defaults or failure of any of such agents in fulfilling its roles, or its winding up or cessation of business, and Po Sang will NOT be responsible for any losses or damages incurred or suffered as a result thereof.
- 客戶明白且同意，寶生有權不時要求提供其認為合適的該些文件及資料(包括但不限於客戶、客戶委任代表其就帳戶發出指示的任何人士(「獲授權人士」)及就客戶而言的任何實益擁有人、最初負責發出指示的人士、將會從交易中取得商業或經濟利益或承擔其商業或經濟風險人士之身份、指示或開立帳戶之目的及預期交易性質、資金來源及由來、預期將進行的活動程度及獲授權人士之權限)，以遵守任何法規要求(包括但不限於防止清洗黑錢、恐怖分子資金籌集及提供財務及其他服務予可能受制裁之人士或實體)及於開立帳戶或接受任何指示前進行客戶身份辨別、核實及盡職審查。若未能提供這些文件及資料或客戶身份辨別、核實及盡職審查。若未能提供該些文件或資料或客戶身份辨別、核實及盡職審查程序未能以令寶生滿意的方式完成，則寶生有權開立帳戶，或暫止或終止帳戶，或拒絕接受指示。
The Client understands and agrees that Po Sang has the right to request for such documents and information (including but not limited to the identities of the Client, any person appointed by the Client to give instructions on its behalf in relation to the Account ("Authorized Persons") and any beneficial owner in relation to the Client or the persons ultimately responsible for originating instructions or who stand to gain the commercial or economic benefit of transactions or who bear the commercial or economic risk, the purpose and intended nature of the instructions or the opening of the Account(s), the source and origin of funds, the anticipated level of activity to be undertaken and the authority of the Authorized Persons) from time to time as it deems appropriate for the purpose of complying with any regulatory requirements (including but not limited to the prevention of money laundering, terrorist

13 客戶聲明 Declarations By Client

financing and provision of financial and/or other services to persons or entities which may be subject to sanctions) and conducting client identification, verification and due diligence before opening the Account(s) or accepting any instructions. Po Sang may refuse to open, suspend or terminate the Account(s) or reject the instructions if such documents or information are not provided or the client identification, verification or due diligence exercise is not completed to the satisfaction of Po Sang.

- 客戶已獲提供以客戶選擇語言(英文或中文)所撰寫的風險聲明:
The risk disclosure statements were provided to the Client in a language of our choice (English or Chinese);
- 客戶已獲邀請參閱風險披露聲明, 並按其意願提出問題及諮詢獨立意見; 及
The Client was invited to read the risk disclosure statements, and to ask questions and take independent advice if the Client so wished; and
- 客戶已參閱 寶生給予客戶資料政策通告並明白且同意其條款。
The Client has read, understood and agreed to the terms of Data Policy Notice .

客戶簽署 Client's Signature

客戶 **不欲** 寶生使用其個人資料經以下渠道作直銷推廣 (請以“✓”選擇渠道):-

The Client **does not wish** Po Sang to use his/her personal data in direct marketing via the following channel(s) (please use “✓” to select the channel(s)):-

電子渠道 Electronic Channels 郵件 Mail 專人電話 Personal Call

如客戶沒有在以上任何方格內以“✓”號顯示其選擇, 即代表客戶並不拒絕寶生任何形式的直銷推廣。

If the Client returns this Form without ticking any of the above boxes, it means that the Client does not wish to opt-out from any form of Po Sang's direct marketing.

為改善及提供更全面的服務予寶生的客戶, 寶生可能會將客戶的個人資料提供予「本集團」[^]其他成員及其他人作其包括財務、保險、信用卡、證券、商品、投資、銀行及相關服務和產品及授信的直銷推廣。若客戶 **不欲** 寶生提供其個人資料予以上人士作以上用途, 請閣下在這方格上以“✓”號表示。

To improve and provide more comprehensive services to our Clients, Po Sang may provide the Client's personal data to other members of the Group[^] and any other persons for their use in direct marketing of financial, insurance, credit card, securities, commodities, investment, banking and related services and products and facilities and so forth. Please tick“✓” this box if the Client **does not wish** Po Sang to provide Client's personal data to the above persons for the above purposes.

[^]「本集團」指寶生及其控股公司、分行、附屬公司、代表辦事處及附屬成員, 不論其所在地。附屬成員包括寶生的控股公司之分行、附屬公司、代表辦事處及附屬成員, 不論其所在地。The “Group” means Po Sang and its holding companies, branches, subsidiaries, representative offices and affiliates, wherever situated. Affiliates include branches, subsidiaries, representative offices and affiliates of Po Sang's holding companies, wherever situated.

以上代表客戶現在對是否接收直銷推廣資料, 以及對寶生擬將其個人資料提供予「本集團」[^] 其他成員作其直銷推廣的選擇, 亦取代任何客戶之前已告知寶生的選擇。請注意, 客戶以上的選擇適用於根據寶生的《資料政策通告》上所載的產品, 服務及/或標的類別的直銷推廣。請客戶參考該通告上以得知在直銷推廣上可使用的個人資料的種類, 以及客戶的個人資料可提供予甚麼類別的人士以供該等人士在直銷推廣中使用。

The above represents the Client's present choice regarding whether or not to receive direct marketing materials, and Po Sang's intended provision of Client's personal data to other members of the Group[^] for their use in direct marketing. This replaces any choice communicated by the Client to Po Sang prior to this application. Please note that the Client above choice applies to the direct marketing of the classes of products, services and/or subjects as set out in Po Sang's Data Policy Notice. Please also refer to the said Notice on the kinds of personal data which may be used in direct marketing and the classes of persons to which the Client's personal data may be provided for them to use in direct marketing.

客戶簽署及公司蓋章

Client Authorized Signature(s) with Company Chop

客戶簽署代表人姓名:

Authorized Signatory's name _____

客戶簽署代表人職銜:

Authorized Signatory's title(s) _____

日期:

Date

其他條款及細則 Other Terms and Conditions

1 使用密碼規則 Using Password Regulations

所有客戶在寶生證券及期貨有限公司(以下簡稱“寶生”)開立證券賬戶而又需要通過電話發給寶生買賣通知；必須向寶生申領一個個人交易密碼，並遵守下列規則:-

Each Securities Account Holder of Po Sang Securities and Futures Limited (“Po Sang”) who access service or give instruction through telephone have to apply a personal trading password and consent the following regulations:-

- (1) 該密碼屬絕對保密性質，在所有客戶與寶生之間的聯繫和買賣交易上，一經報上賬戶號碼及正確交易密碼，即屬有效，並即誌入該賬戶，該客戶必須一概承認，不論該使用密碼人士是否其本人。寶生無須作任何查詢，亦不須對客戶負任何責任。
The given password should be kept confidential and secret. Any communication and trading instruction given by use of your Account Number and Password is valid and binding on you. Whether or not the password is given by the Account Holder, Po Sang shall not be required to verify the identity and take no responsibility to the Client.
- (2) 如賬戶為聯名戶口，則任何其中一人經使用交易密碼向寶生發出之任何買賣通知，均屬有效，並誌入該交易賬戶，所有該聯名戶口的持有人必須均予承認，寶生亦不須負任何責任。
In joint account, any instruction given from one of the Account Holders by the use of your Password is valid and binding on all Account Holders. Po Sang shall without liability execute such instruction.
- (3) 客戶所有經電話以交易密碼進行的指示，一經傳遞後，不能其後再以任何形式更改或取消，如客戶所報密碼及經電話傳遞有關指示的資料有任何錯誤之處，寶生保留絕對權利以決定承認或終止該項交易。
Any instruction from telephone given by the use of your password cannot be altered or cancelled unless with our agreement. Any inappropriate password or instruction given by Account Holder from telephone, Po Sang shall, at our discretion, accept or decline to accept such instructions.
- (4) 如遇客戶與寶生電話聯繫時發生任何機件或技術故障，則一切有關買賣通知的資料以寶生職員當時作之記錄為準。
Any mechanical and technical error in transmission of any message by telephone between the Client and Po Sang, all of the trading instructions related shall be according to the record from the staff of Po Sang marked.
- (5) 寶生保留絕對權利給予客戶書面通知拒絕或終止客戶通過電話給予寶生買賣通知之權利，並取消客戶的交易密碼，而無須說明理由。
Po Sang reserve absolute rights to issue the written notice on declining or terminating client’s instruction given by telephone, as well as cancellation of your trading password without any explanation
- (6) 除上述條件外，一切通過電話進行之交易及有關事宜，必須根據客戶與寶生訂定之客戶協議進行。
Besides the above mentioned conditions, any deals, instructions and related details given by telephone shall be subjected to the Client Agreement between the Client and Po Sang.

2 確認收悉 Confirmation of Receipt

客戶確認收到：

The Client confirms receipt of:

1. 《證券交易帳戶協議》
《Agreement for Securities Trading Account》
2. 《風險披露聲明》
《Risk Disclosure Statement》

3 客戶確認及承諾 Client Acknowledgement and Consent

- 本公司(「客戶」)確認詳閱、明白及同意接受寶生證券及期貨有限公司《使用密碼規則》的約束並當切實遵守(以寶生不時修訂之版本為準)。
The Company (“The Client”), the undersigned acknowledges that the Client has read, understood and consent the contents of the 《Using password regulations》(Subject to the final updated version of Po Sang Securities and Futures Limited (“Po Sang”)from time to time).
- 客戶確認已收妥 寶生的《證券交易帳戶協議》內文件及各類交易密碼函(如已領用)。客戶聲明客戶向寶生提供的所有個人資料(a) 均藉合法的方法收集；及(b) 盡客戶所知的所有要項上均為有效、真實，完整、準確及最新。客戶同意確保，就寶生收集及由客戶提供予寶生的所有相關個人資料，已從資料當事人取得所需的同意，且資料當事人知悉寶生可以其不時提供給客戶的《資料政策通告》中所載目的，根據寶生對使用及披露個人資料的政策去使用、轉移及披露其個人資料及資訊，而該等資料當事人知悉他們可擁有要求查閱及改正寶生持有其資料的法律權利。
The Client, the undersigned acknowledges that the Client has received the 《Agreement for Securities Trading Account》 and various trading PIN or password letter (if applied) from Po Sang. The Client represents that all personal data provided by the Client to the Po Sang (a) has been collected by lawful means; and (b) is valid, true, complete, accurate and up-to-date in all material respects so far as the Client is aware. The Client agrees to ensure that, in relation to all personnel data collected by and provided to the Po Sang by the Client, all necessary consent required from the data subjects have been obtained and that the data subjects are aware that our personal data and information may be used, transferred or disclosed by Po Sang in accordance with its policies on the use and disclosure of personal data as set out in its Data Policy Notice made available by Po Sang to the Client from time to time and that those data subjects are aware that they may have legal rights of access to and correction of information held about them by Po Sang.
- 客戶確認已獲寶生提供客戶選擇的語言(中文或英文)版本，閱讀、清楚瞭解及明白該等《風險披露聲明》，並獲 寶生邀請提出問題及徵求獨立的意見。客戶聲明、知悉及確認客戶已獲寶生提供客戶選擇的語言(中文或英文)版本的風險披露聲明，並獲寶生邀請提出問題及徵求獨立的意見。客戶進一步聲明、知悉及確認客戶已仔細閱讀風險披露聲明的內容、客戶的所有疑問(如有)已獲妥善解答及解釋，且客戶已完全明白風險披露聲明所提及產品的有關主要特點及其所附帶的風險。
The Client, the undersigned acknowledges that the Client was provided the 《Risk Disclosure Statement》in a language (English or Chinese) of the Client’s choice from Po Sang. The Client further acknowledge that the Client has read, deeply understood the contents of the Statement, as well as the Client was invited to ask questions and take

3	客戶確認及承諾 Client Acknowledgement and Consent
<p>independent advice if the Client wishes. The Client, the undersigned declares, acknowledges and confirms that the Client was provided the Risk Disclosure Statements in a language (English or Chinese) of the Client's choice from Po Sang and that the Client was invited to ask questions and take independent advice if the Client wishes. The Client further declares, acknowledges and confirms that the Client has read carefully the contents of the Risk Disclosure Statements and that all the Client's enquiries (if any) have been duly answered and explained and that the Client understand fully the relevant key features and risks associated with the products mentioned in the Risk Disclosure Statements.</p>	
<p>客戶簽署及公司蓋章 Client Authorized Signature(s) with Company Chop _____</p>	
<p>日期 Date _____</p>	

見證人 Witness	
見證人姓名: Witness Name: _____	職業: Occupation: _____
如於香港以外地方簽署, 須由正式任命的國際公證人、律師或其他相關能力人士見證簽署。 If signed outside of Hong Kong, signing of this Agreement should be witnessed by a duly appointed Notary Public, solicitor or other competent person.	
_____ 見證人簽署 Witness Signature 日期 Date: _____	

寶生證券及期貨有限公司持牌人士聲明 Declaration by Po Sang Securities and Futures Limited Licensed Person	
本人(姓名見下), 為寶生證券及期貨有限公司之持牌人士, 謹此聲明, 本人: I, named below, a licensed person of Po Sang Securities and Futures Limited, hereby declare that I have:	
a. 已向客戶提供以客戶選擇語言(英文或中文)所撰寫的風險披露聲明; 及 Provided to the above-named Client the risk disclosure statements in a language of the Client's choice (English or Chinese); and b. 已邀請客戶參閱風險披露聲明, 並按客戶的意願提出問題及諮詢獨立意見。 Invited the Client to read the risk disclosure statement, ask questions and take independent advice if the Client wishes.	_____ 持牌人士簽署 Licensed Person Signature 日期 Date : _____
Licensed Person Name: 持牌人士姓名: _____	CE No.: 持牌編號: _____

For Internal Use Only		版本 Version: _____	
客戶主任群組名稱 (如適用) Name of AE Group (If applicable) :		客戶主任編號 AE Code :	
佣金費率 Commission Rate : 非自動化交易渠道 Non-automated Trading Channels :		(最低收費) (Min. Charge)	
自動化交易渠道 Automated Trading Channels :		(最低收費) (Min. Charge)	
孖展貸款利率 (只適用於證券孖展賬戶) Margin Loan Interest Rate (Only applicable to Securities Margin Account) :			
T+2 交易額度 (如適用) T+2 Trading Limit (if applicable) :		買入額度 Purchasing Limit :	
		沽出額度 Sale Limit :	
客戶主任佣金分成計劃 (如適用) Commission Sharing Scheme of AE :			
客戶服務 Customer Services		結算 Settlement	
處理: Handled by 日期 Date :	覆核 Checked by 日期 Date :	處理: Handled by 日期 Date :	覆核 Checked by 日期 Date :
		批核及接納: Approved and Accepted By 日期 Date :	