



**華大證券有限公司**  
Prime China Securities Limited

香港九龍灣宏光道 1 號億京中心 B 座  
31 樓 B / C 室  
Room B & C, 31/F., Block B, Billion Centre  
1 Wang Kwong Road,  
Kowloon Bay, Hong Kong

根據《證券及期貨條例》下的持牌法團及香港交易所有限公司參與者  
A licensed corporation under the Securities & Futures Ordinance and an exchange participant  
of the Stock Exchange of Hong Kong Ltd

CE No. BHG557  
電話 Tel: (852) 39528888  
傳真 Fax: (852) 39528808

**開戶申請表 (適用於個人帳戶及聯名帳戶)**  
**ACCOUNT OPENING FORM (FOR INDIVIDUAL ACCOUNT AND JOINT ACCOUNT)**

在本申請表中，華大證券是指華大證券有限公司。 In this form, Prime China shall mean Prime China Securities Limited.

<b>1. 帳戶類型 ACCOUNT TYPE</b>		
<input type="checkbox"/> 1. 現金帳戶 Cash Account	<input type="checkbox"/> 2. 保證金帳戶 Margin Account	<input type="checkbox"/> 3. 網上交易 On-line Trading

**2. 申請人資料 APPLICANT INFORMATION / 第一聯名申請人的資料 FIRST JOINT APPLICANT INFORMATION**

<b>個人資料 Personal Information</b>			
姓名 (英文) Name (English)	(Surname)	(Given Name)	(Mr. / Ms. / Miss)
姓名 (中文) Name (Chinese)	(姓)	(名)	(先生 / 女士 / 小姐)
身份證號碼 ID No.		護照號碼 Passport No.	
國籍 Nationality		出生日期及出生地點 Date and Place of Birth	_____/_____/_____ 日/月/年 DD/MM/YY 出生地點 Place of Birth
住宅地址 Residential Address			
辦公室地址 Office Address			
住宅電話號碼 Home Tel. No.	( )	手機號碼 Mobile No.	( )
辦公室電話號碼 Office Tel. No.	( )	傳真號碼 Fax No.	( )
電郵地址 E-mail Address			

<b>就業概況 Employment Status</b>	
<input type="checkbox"/> 自僱人士 Self employed	業務性質 Nature of Business : _____
<input type="checkbox"/> 受僱 Employed	僱主名稱 Name of Employer : _____ 職業 Occupation : _____
<input type="checkbox"/> 其他 Others	_____

<b>財務狀況 Financial Status</b>		
個人每月收入 Personal Monthly Income:	<input type="checkbox"/> 低於 10 萬港元 Below HK\$100,000 <input type="checkbox"/> 高於 20 萬港元 Over HK\$200,000	<input type="checkbox"/> 10 萬港元至 20 萬港元 HK\$100,000 - HK\$200,000
個人財富淨值 Personal Net Worth:	<input type="checkbox"/> 低於 1 百萬港元 Below HK\$1 million <input type="checkbox"/> 高於 8 百萬港元 Above HK\$8 million	<input type="checkbox"/> 1 百萬港元至 8 百萬港元 HK\$1 million - HK\$8 million

<b>投資經驗 Investment Experience</b>	
<input type="checkbox"/> 股票 Stock : _____年 year(s)	<input type="checkbox"/> 期權 Options : _____年 year(s)
<input type="checkbox"/> 認股證 (窩輪) Warrants : _____年 year(s)	<input type="checkbox"/> 期貨 Futures : _____年 year(s)

請在開戶書中每一頁  
右下角的方框內簽名

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**結構或衍生產品方面的知識\* Knowledge of Structured or Derivative Products\***

你是否了解結構或衍生產品的主要特徵以及衍生交易所涉及的風險？ Do you understand the main features of structured or derivative products and risks involved in derivatives transactions?	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
你是否曾參與過有關結構或衍生產品的任何培訓或課程？ Have you ever undergone any training or attended any courses on structured or derivative products?	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
你是否擁有與結構或衍生產品有關的任何工作經歷？ Have you ever obtained any working experience relating to structured or derivative products?	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
過去 3 年中，你曾否執行 5 次或以上有關結構或衍生產品的交易？ Have you ever executed 5 or more transactions relating to structured or derivative products over the past 3 years?	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 沒有 No
* 結構或衍生產品包括認股證（窩輪）、牛熊證、股票掛鈎票據、交易所買賣基金、股票期權、期貨和其他衍生金融工具。 * Structured or derivative products include warrants, callable bull/bear contracts, equity-linked notes, exchange traded funds, stock options, futures and such other products embedded with derivatives.	

**3. 身份聲明 IDENTITY DECLARATION / 第一聯名申請人的身份聲明 IDENTITY DECLARATION BY FIRST JOINT APPLICANT**

你是否美國公民或居民？ Are you a U.S. citizen or resident?  
 否 No  是 Yes 美國納稅人編號 U.S. Taxpayer ID No. : \_\_\_\_\_  
 如屬美國公民或居民，你是否同意本公司每年向美國國稅局申報你的相關帳戶餘額、相關利息收入總額、股息收入及提取份額以及身份證明資料（如：姓名、地址、美國納稅人編號）？  
 If Yes, do you consent for us to report your relevant account balance, gross amounts of relevant interest incomes, dividend incomes and withdrawals, and identification details (e.g. name, address, the U.S. Taxpayer ID No.) to U.S. Internal Revenue Service annually?  同意 Yes  不同意 No

你及／或你的配偶、合夥人、子女或父母或近親是否屬「政治人物」一類人士？ Are you and/or your spouse, partner, children or parents or close associates a Politically Exposed Person “(PEP)”?  
 （備註：政治人物是指受託行使重要公共職能的人士，包括國家元首、政府首長、資深從政者、國有企業的高級行政人員和重要政黨的幹事；更詳細定義見《打擊洗錢及恐怖分子資金籌集（金融機構）條例》（香港法例第 615 章）。  
 (Note: PEP refers to a person entrusted with a prominent public function including a head of state, head of government, senior politician, senior executive of a state-owned corporation and an important political party official, which is more specifically defined under the Anti-Money Laundering and Counter-Terrorist Financing (Financial Institutions) Ordinance (Cap. 615 of the Laws of Hong Kong)).

否 No  是 Yes 政治人物姓名 Name of PEP : \_\_\_\_\_ 關係 Relationship : \_\_\_\_\_

你是否任何上市公司的董事或大股東？ Are you a director or substantial shareholder of any listed company?  
 否 No  是，本人是一名 Yes, I am a  董事 director /  大股東 substantial shareholder。

上市公司的名稱 Name of listed company : \_\_\_\_\_ 股權比例（如適用） Shareholding (if applicable) : \_\_\_\_\_

你是否為香港證券及期貨事務監察委員會持牌法團或註冊法團的持牌／註冊人士、僱員或董事？ Are you a licensed/registered person or employee/director of a corporation licensed/registered with the Securities and Futures Commission of Hong Kong “(SFC)”?  
 否 No  是 Yes 持牌／註冊法團名稱 Name of licensed/registered corporation : \_\_\_\_\_

你是否為華大證券或其控股公司或其控股公司的任何附屬公司的僱員或董事，或華大證券或其控股公司或其控股公司的任何附屬公司的任何僱員或董事的親屬？ Are you an employee or director of Prime China or its holding company or any of the subsidiaries of the holding company or a relative of any director or employee of Prime China or its holding company or any of the subsidiaries of the holding company?  
 否 No  是 Yes 董事／僱員姓名 Name of director/employee : \_\_\_\_\_ 關係 Relationship : \_\_\_\_\_

（僅適用於保證金帳戶） (For Margin Account Only)

你的配偶是否在華大證券持有保證金帳戶？ Does your spouse have a margin account with Prime China?  
 不適用 N/A  否 No  
 是 Yes 配偶姓名 Name of spouse : \_\_\_\_\_ 身份證號碼 ID no. : \_\_\_\_\_ 帳號 Account no. : \_\_\_\_\_

你（或聯同你的配偶）是否控制（或共同控制）華大證券的其他公司保證金帳戶客戶 35% 或以上的表決權？ Do you or together with your spouse control 35% or more of the voting rights of another corporate margin account client of Prime China?  
 否 No  是 Yes 保證金帳戶客戶名稱 Name of margin account client : \_\_\_\_\_



(由第二聯名申請人填寫的項目) (To be completed by Second Joint Applicant)

#### 4. 第二聯名申請人資料 SECOND JOINT APPLICANT INFORMATION

個人資料 Personal Information			
姓名(英文) Name (English)	(Surname)	(Given Name)	(Mr. / Ms. / Miss)
姓名(中文) Name (Chinese)	(姓)	(名)	(先生 / 女士 / 小姐)
身份證號碼 ID No.		護照號碼 Passport No.	
國籍 Nationality		出生日期及出生地點 Date and Place of Birth	_____/_____/_____ 日/月/年 DD/MM/YY 出生地點 Place of Birth
住宅地址 Residential Address			
辦公室地址 Office Address			
住宅電話號碼 Home Tel. No.	( )	手機號碼 Mobile No.	( )
辦公室電話號碼 Office Tel. No.	( )	傳真號碼 Fax No.	( )
電郵地址 E-mail Address			

#### 就業概況 Employment Status

<input type="checkbox"/> 自僱人士 Self employed	業務性質 Nature of Business : _____
<input type="checkbox"/> 受僱 Employed	僱主名稱 Name of Employer : _____ 職業 Occupation : _____
<input type="checkbox"/> 其他 Others	_____

#### 財務狀況 Financial Status

個人每月收入 Personal Monthly Income:	<input type="checkbox"/> 低於 10 萬港元 Below HK\$100,000	<input type="checkbox"/> 10 萬港元至 20 萬港元 HK\$100,000 - HK\$200,000
	<input type="checkbox"/> 高於 20 萬港元 Over HK\$200,000	
個人財富淨值 Personal Net Worth:	<input type="checkbox"/> 低於 1 百萬港元 Below HK\$1 million	<input type="checkbox"/> 1 百萬港元至 8 百萬港元 HK\$1 million - HK\$8 million
	<input type="checkbox"/> 高於 8 百萬港元 Above HK\$8 million	

#### 投資經驗 Investment Experience

<input type="checkbox"/> 股票 Stock : _____年 year(s)	<input type="checkbox"/> 期權 Options : _____年 year(s)
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#### 結構或衍生產品方面的知識\* Knowledge of Structured or Derivative Products\*

你是否了解結構或衍生產品的主要特徵以及衍生交易所涉及的風險? Do you understand the main features of structured or derivative products and risks involved in derivatives transactions?	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
你是否曾參與過有關結構或衍生產品的任何培訓或課程? Have you ever undergone any training or attended any courses on structured or derivative products?	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
你是否擁有與結構或衍生產品有關的任何工作經歷? Have you ever obtained any working experience relating to structured or derivative products?	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
過去 3 年中, 你曾否執行 5 次或以上有關結構或衍生產品的交易? Have you ever executed 5 or more transactions relating to structured or derivative products over the past 3 years?	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 沒有 No
* 結構或衍生產品包括認股證(窩輪)、牛熊證、股票掛鈎票據、交易所買賣基金、股票期權、期貨和其他衍生金融工具。 * Structured or derivative products include warrants, callable bull/bear contracts, equity-linked notes, exchange traded funds, stock options, futures and such other products embedded with derivatives.	



**5. 第二聯名申請人的身份聲明 IDENTITY DECLARATION BY SECOND JOINT APPLICANT**

你是否美國公民或居民？ Are you a U.S. citizen or resident?

否 No  是 Yes 美國納稅人編號 U.S. Taxpayer ID No. : \_\_\_\_\_

如屬美國公民或居民，你是否同意本公司每年向美國國稅局申報你的相關帳戶餘額、相關利息收入總額、股息收入及提取份額以及身份證明資料（如：姓名、地址、美國納稅人編號）？

If Yes, do you consent for us to report your relevant account balance, gross amounts of relevant interest incomes, dividend incomes and withdrawals, and identification details (e.g. name, address, the U.S. Taxpayer ID No.) to U.S. Internal Revenue Service annually?  同意 Yes  不同意 No

你及／或你的配偶、合夥人、子女或父母或近親是否屬「政治人物」一類人士？ Are you and/or your spouse, partner, children or parents or close associates a Politically Exposed Person “(PEP)”?

（備註：政治人物是指受託行使重要公共職能的人士，包括國家元首、政府首長、資深從政者、國有企業的高級行政人員和重要政黨的幹事；更詳細定義見《打擊洗錢及恐怖分子資金籌集（金融機構）條例》（香港法例第 615 章））。

(Note: PEP refers to a person entrusted with a prominent public function including a head of state, head of government, senior politician, senior executive of a state-owned corporation and an important political party official, which is more specifically defined under the Anti-Money Laundering and Counter-Terrorist Financing (Financial Institutions) Ordinance (Cap. 615 of the Laws of Hong Kong)).

否 No  是 Yes 政治人物姓名 Name of PEP : \_\_\_\_\_ 關係 Relationship : \_\_\_\_\_

你是否任何上市公司的董事或大股東？ Are you a director or substantial shareholder of any listed company?

否 No  是，本人是一名 Yes, I am a  董事 director /  大股東 substantial shareholder。

上市公司的名稱 Name of listed company : \_\_\_\_\_ 股權比例（如適用） Shareholding (if applicable) : \_\_\_\_\_

你是否為香港證券及期貨事務監察委員會持牌法團或註冊法團的持牌／註冊人士、僱員或董事？ Are you a licensed/registered person or employee/director of a corporation licensed/registered with the Securities and Futures Commission of Hong Kong “(SFC)”?

否 No  是 Yes 持牌／註冊法團名稱 Name of licensed/registered corporation : \_\_\_\_\_

你是否為華大證券或其控股公司或其控股公司的任何附屬公司的僱員或董事，或華大證券或其控股公司或其控股公司的任何附屬公司的任何僱員或董事的親屬？ Are you an employee or director of Prime China or its holding company or any of the subsidiaries of the holding company or a relative of any director or employee of Prime China or its holding company or any of the subsidiaries of the holding company?

否 No  是 Yes 董事／僱員姓名 Name of director/employee : \_\_\_\_\_ 關係 Relationship : \_\_\_\_\_

（僅適用於保證金帳戶） (For Margin Account Only)

你的配偶是否在華大證券持有保證金帳戶？ Does your spouse have a margin account with Prime China?

不適用 N/A  否 No

是 Yes 配偶姓名 Name of spouse : \_\_\_\_\_ 身份證號碼 ID no. : \_\_\_\_\_ 帳號 Account no. : \_\_\_\_\_

你（或聯同你的配偶）是否控制（或共同控制）華大證券的其他公司保證金帳戶客戶 35% 或以上的表決權？ Do you or together with your spouse control 35% or more of the voting rights of another corporate margin account client of Prime China?

否 No  是 Yes 保證金帳戶客戶名稱 Name of margin account client : \_\_\_\_\_

**6. 帳戶投資目標 ACCOUNT INVESTMENT OBJECTIVES**

投資目標 (可別選多項) (More than one option can be chosen)

Investment Objectives  收益 Income  增長 Growth  投機 Speculation  其他 Others: \_\_\_\_\_

**7. 帳戶通訊資料 ACCOUNT CORRESPONDENCE INFORMATION**

語言 (只可選擇其中一種語言) (Only one option can be chosen)

Language  英文 English  中文 Chinese

寄送方式* Delivery Method*	<input type="checkbox"/> 透過電郵收取 By E-mail:	E-mail address:
	<input type="checkbox"/> 透過郵寄方式收取 By Post	
* 若要求通過郵寄方式接收結單，則須在每月月底支付每月郵寄費。 Monthly postal fee will be charged at the end of each month if postal statement is requested.		申請人確認簽署 Confirmed by Applicant

**8. 在經紀人處登記的銀行（用於提取資金）\*BANK TO BE REGISTERED WITH THE BROKER (FOR FUND WITHDRAWAL PURPOSE)\***

貨幣 Currency	銀行名稱 Bank Name	銀行帳號 Bank Account No.	銀行帳戶名稱 Bank Account Name
<input type="checkbox"/> 多種貨幣 Multi Currency <input type="checkbox"/> 其他 Other : _____			
<input type="checkbox"/> 多種貨幣 Multi Currency <input type="checkbox"/> 其他 Other : _____			

\* 若申請人未選擇在此提供銀行帳戶資料，則須另行提交提取資金書面指示。銀行帳戶名稱必須與帳戶持有人名稱一致。

Written fund withdrawal instruction is required if the Applicant chooses not to provide bank account information in this section. The Bank Account Name must be the same as the name of account holder.

**9. 身份聲明 IDENTITY DECLARATION**

你是否為帳戶的最終受益人？ Are you the ultimate beneficiary of the Account?

（備註：帳戶的最終受益人是指收取交易中的商業或經濟利益及／或承擔其商業或經濟風險的人士或實體）。

(Note: Ultimate beneficiary of the Account means the person or entity that stands to gain the commercial or economic benefit of a transaction and/or bear its commercial or economic risk).

是 Yes  否 No \* 最終受益人名稱 Name of ultimate beneficiary : \_\_\_\_\_ 關係

Relationship : \_\_\_\_\_

\* 最終受益人需提交補充文件。 Ultimate beneficiary is required to submit additional supplementary document(s).

你是否負責為各項帳戶交易發出最終指示？ Are you the person ultimately responsible for originating the instruction in relation to transactions in the Account?

是 Yes  否 No 人員名稱 Name of person : \_\_\_\_\_ 關係 Relationship : \_\_\_\_\_

**10. 個人用戶授權、承諾、聲明和簽署 AUTHORISATION, UNDERTAKING, DECLARATION AND EXECUTION FOR INDIVIDUAL ACCOUNT**

就本人向經紀人（華大證券）提交本開戶申請一事（簡稱為「該申請」），本人（「申請人」）謹此授權、承諾、聲明和確認如下（在本條中未定義的術語應與本人在經紀人處開立相關帳戶時適用的條款及細則所規定的含義相同）：

**一般事項**

- 1、本人謹此授權經紀人隨時向本人的銀行索取各類參考及帳戶餘額資訊（本人謹此豁免所涉及之任何保密責任），以及聯絡任何第三方以核實本開戶申請表和該申請中所提供的一切資訊。本人亦謹此授權經紀人為確認本人的財務狀況及投資目標實施任何信貸調查。
- 2、本人聲明在本開戶申請表中提供的所有資訊以及本人向經紀人就該申請所提交的一切證明及相關文件均為真實、完整、準確的最新資訊。在經紀人實際收到本人更改此類資訊的任何書面通知之前，經紀人有權完全依賴此類資訊而作出任何目的之行動。
- 3、本人承諾就開戶申請表及該申請所提供的任何資訊出現變化時立即通知經紀人。本人亦承諾將按經紀人不時提出的要求向其提供任何其他資訊／文件，並確保本人就該申請向經紀人提交的一切資訊在任何時候均為真實、完整、準確的最新資訊。
- 4、本人確認並理解，本人可按需要要求經紀人提交一份本開戶申請表的經簽署副本。本人亦可通過經紀人的網站下載本開戶申請表的標準申請表格。本人確認收到有關本申請的以下文件的中文／英文副本（按本人所選擇的語言）：(1)開戶條款及細則；(2)《個人資料（私隱）條例》的客戶通知；(3) 風險披露聲明及免責聲明。此類文件及開戶申請表在以下統稱為「客戶協議」。
- 5、本人聲明，本人已獲告知本人應仔細閱讀客戶協議及提出任何疑問，並應按個人意願尋求獨立意見。
- 6、本人進一步聲明，本人已細閱整份客戶協議內容；本人接受和同意受該客戶協議條款約束，尤其是相關條款及細則中關於經紀人抵押的規定；凡在持牌人面前簽署該開戶申請表，即表示持牌人已就客戶協議內容以本人能夠理解的語言向本人作出全面及明確說明。本人同意及確認本開戶申請表連同隨之一併遞交／即將遞交的文件將共同構成經紀人及本人之間的完整協議。
- 7、本人明白和同意經紀人可透過通知隨時修改、補充或修訂相關條款及細則、《個人資料（私隱）條例》的客戶通知和風險披露聲明及免責聲明的條文，而本人確認本人可隨時索取上述相關條款及細則、《個人資料（私隱）條例》的客戶通知和風險披露聲明及免責聲明的一份最新副本作詳細閱讀。
- 8、若本人有意指派本人以外的其他人士操作該帳戶，本人理解本人應按經紀人提供的格式簽署以經紀人為受益人的「授權書和彌償保證書」。
- 9、本人理解簽署本確認書是《證券及期貨事務監察委員會持牌人或註冊人操守準則》的強制要求。本人理解若本人未能在本確認書上簽署並加註日期，經紀人將無法按本人的指示進行證券／期貨交易。
- 10、本人已獲告知，如本人選擇開立保證金帳戶，經紀人可再質押本人的證券抵押品。
- 11、本人謹此授予適用於該申請的一切直銷活動授權、客戶款項常設授權及／或客戶證券常設授權（詳見以下段落）。
- 12、若此類授權書的中英文版本在解釋或含意上出現分歧，概以英文版為準。

**直銷活動授權（適用於所有帳戶）**

除非本人已剔選【√】下方空格，本人同意經紀人及經紀人集團公司在直銷活動過程中使用本人的個人資料：

本人不同意經紀人及經紀人集團公司在直銷活動過程中使用本人的個人資料。

以上內容代表本人是否同意貴公司就直銷活動與本人聯絡或向本人發送相關資訊的目前意願。以上內容將取代本人在遞交本申請前通知經紀人的一切原先決定。

上述最新決定同時適用於有關《個人資料（私隱）條例》（香港法例第486章）的經紀人政策聲明（連同相關條款及細則一併提供）中所述的各類直銷產品及服務。本人亦應參考政策聲明中有關直銷活動過程中可能使用的個人資料類別。

**客戶款項常設授權（適用於所有帳戶）**

本授權涵蓋經紀人及／或經紀人集團公司代表本人在香港境內持有或收取一個或多個獨立帳戶中的款項（簡稱為「款項」）（包括持有該款項而衍生的不屬於經紀人的任何利息）。

除非另有規定，本授權中使用的一切術語的含義應等同該等術語在《證券及期貨條例》（香港法例第571章）（《證券及期貨條例》）和

《證券及期貨（客戶款項）規則》（香港法例第571I章）及其不時修訂版本中所具備的含義。本指示授權經紀人在無須向本人發出通知的情況下作出以下任何行動：

1、組合或合併本人在經紀人或經紀人集團公司處開立並持有的任何或所有不同性質的獨立帳戶（定義詳見條款及細則），且經紀人可抵銷此類帳戶中的任何款項、將任何款項轉入其中一個帳戶或在各帳戶之間轉帳任何款額，以清償本人欠付經紀人集團公司任何成員公司的任何責任或債務，無論此類責任和債務是否屬實際或或有、主要或從屬、有擔保或無擔保的責任和債務；

2、如本人已在經紀人處開立期貨交易帳戶，則將任何款項轉帳至經紀人為代表本人參與環球期貨交易買賣而向代理經紀人及／或清算代理人開立的任何期貨交易／結算／交收帳戶；或

3、隨時將在經紀人集團公司任何成員處開立並持有的各獨立帳戶之間轉帳可供轉帳的該等款額。

### 客戶證券常設授權（僅適用於保證金帳戶）

1、本人確認本人全面理解本授權的內容，並且本人進一步授權經紀人在適用法律、規則及法規所允許的範圍內處理在經紀人處開立或即將開立的保證金帳戶中的證券。此類行動包括但不限於：

- (a) 處置任何證券抵押品，以履行(i)本人維持約定保證金額的責任；及(ii)本人應向經紀人承擔的任何其他責任；
  - (b) 將保證金帳戶中的證券抵押品存放於認可財務機構（見《銀行業條例》（香港法例第155章）的定義），作為該認可財務機構向經紀人提供財務通融的抵押品；
  - (c) 將證券抵押品存放於認可結算所（定義見《證券及期貨條例》）或其他持牌中介人或獲發牌從事證券交易的中介人，作為解除和清償經紀人結算義務和責任的抵押品；
  - (d) 根據證券借貸協議規定使用證券或證券抵押品；
  - (e) 如經紀人在進行證券交易及經紀人持牌或獲發牌進行的任何其他受規管活動過程中向本人提供財務通融，即可按上述1(a)、1(b)、1(c)及/或1(d)之規定，運用或處理任何證券抵押品。
- 2、本人確認本人全面理解本授權內容，並且針對以上1(a)項中所述事宜的授權應長期有效，而以上第1(b)、1(c)、1(d)和1(e)項中所述事宜的授權應自相關授權之日起十二(12)個月內有效。經紀人將在本授權有效期間前至少十四(14)日向本人發出提示通知書。本人理解若經紀人未有在相關授權屆滿日前收到本人的反對通知，該授權將自授權屆滿日期起被視為自動續期十二(12)個月（無需取得本人的書面同意）。本人可隨時撤銷該授權，而該撤銷應自經紀人實際收到本人簽署的撤銷通知正本後七(7)個營業日生效。
- 3、本人理解若經紀人將保證金帳戶中的任何證券出借給第三方或存放在第三方處，則此類證券的歸還將取決於經紀人對此等第三方所承擔責任的履行情況。
- 4、本人確認若本人未依據任何適用法律、規則或法規的規定授予任何必要授權，則經紀人可拒絕向本人提供清償任何交易所需的任何融資。本人確認上述授權可由經紀人或經紀人的受讓人作出轉讓。
- 5、本人亦確認，除向經紀人另行書面披露之外：
- (a) 本人的配偶並非經紀人保證金帳戶客戶；及
  - (b) 本人並未（單獨或與配偶共同）控制經紀人的另一公司保證金帳戶客戶的35%或以上的表決權。

本人謹此同意就經紀人、其代理經紀人及/或清算代理人據此授權進行交易而招致、蒙受及/或需面對的任何性質的一切損失、損害賠償、利息、成本、支出、訴訟、索求、索賠或司法程序作出一切彌償。

本授權的授予建基於經紀人同意按本人在本開戶申請表中要求開立的一個或多個交易帳戶開立及持續運作該等帳戶。本授權的授予並不影響經紀人或經紀人集團公司就獨立帳戶中的交易款項可能獲得的其他授權或可能享有的其他權利。

除非經紀人終止接受本授權或本人向經紀人發出撤銷授權通知書，本授權在作出授權之日起十二(12)個月內維持有效。本人可按經紀人在上方列明的通訊地址向經紀人的文件控制部發送書面通知撤銷本授權。除非經紀人另行指明，此類通知應自經紀人實際收到該通知後七(7)個營業日生效。

本人明白，若經紀人在本授權屆滿日期前至少十四(14)日向本人發送提示通知書，本授權即應在無需取得本人進一步書面同意確認下被視為自動續期一次（最長不超過十二(12)個月），而本人亦不反對在該等屆滿日期前作出的該等被視為續期。

本人確認持牌人或註冊人在香港境外代表本人持有或收取的資產（包括款項）均應符合相關海外司法管轄區的適用法律法規規定，而該等法律法規或與《證券及期貨條例》及項下規則有所不同。因此，此類客戶資產或無法享有在香港境內持有或收取該等客戶資產時所能享有的同等保障。

本人確認經紀人已就本授權向本人作出明確說明。本人全面理解本授權內容，並且本人已經徵詢或有機會尋求與此授權內容和效力有關的法律意見。

In connection with this account opening application with the Broker (Prime China) (the“Application”), we (the“Applicant”) hereby authorise, undertake, declare and acknowledge as follows (terms not defined herein shall have the same meanings as in the Terms and Conditions for the relevant account(s) that we open with the Broker):

**General**

1. I hereby authorise the Broker to obtain at any time references and account balances from my bankers (I hereby waive any duty of confidentiality involved) and to contact any other persons to check the information provided in this Account Opening Form and in relation to the Application. Further, I hereby authorise the Broker to conduct credit enquiries and checks for the purpose of ascertaining my financial situation and investment objectives.
2. I declare that all information provided in this Account Opening Form and all supporting and relevant documents submitted by me to the Broker in relation to this Application is true, complete, accurate and up-to-date. The Broker is entitled to rely fully on such information for all purposes unless the Broker has received actual prior notice in writing of any change from me.
3. I undertake that I shall advise the Broker forthwith of any changes to the information supplied in this Account Opening Form and in relation to the Application. I undertake to provide any further information/documents that the Broker may require from time to time and to ensure at all times the truthfulness, the completeness, the accuracy and the up-to-dateness of all information provided by me to the Broker in relation to this Application.
4. I confirm my understanding that if I wish, I may request a signed copy of this Account Opening Form from the Broker. A standard form of this Account Opening Form is also available for downloading from the Broker’s website. I acknowledge receipt of copies of (i) the Terms and Conditions; (ii) the PDPO Circular; and (iii) the Risk Disclosure Statements and Disclaimers, in relation to this Application in a language of my choice (English or Chinese). These documents, together with the Account Opening Form, are collectively referred to hereinafter as the“Client Agreement”.
5. I declare that I have been advised to read the Client Agreement carefully, to ask questions and to take independent advice if I wish.
6. I further declare that I have read the Client Agreement thoroughly; that I accept and agree to be bound thereby, in particular, the creation of the Broker’s Charge as detailed in the relevant Terms and Conditions; and that where the Account Opening Form is signed before a licensed person, the contents of the Client Agreement have been explained to me fully and clearly in a language which I understand. I agree and confirm that this Account Opening Form and the documents supplied/to be supplied together with this Account Opening Form shall form an integral part of the agreement between the Broker and me.
7. I understand and agree that the provisions of the relevant Terms and Conditions, the PDPO Circular and the Risk Disclosure Statements and Disclaimers may be amended, supplemented or revised from time to time by the Broker by way of notice and I recognise that I may at any time ask for a copy of each of the up-to-date Terms and Conditions, the PDPO Circular and the Risk Disclosure Statements and Disclaimers for perusal.
8. Where I intend to appoint people other than me to operate the account, I understand that I shall execute a“Letter of Authorisation and Indemnity”in favour of the Broker, in the form provided by the Broker.
9. I understand that the signing of this acknowledgement is mandatory under the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission of Hong Kong. I understand that the Broker will not be able to effect my instructions to deal in securities/futures if this acknowledgement is not signed and dated by me.
10. I have been informed that in case I open a Margin Account, the Broker may repledge my securities collateral.
11. I hereby give Direct Marketing Authorisation, Standing Authority for Client Money and/or Standing Authority for Client Securities (as described in detail in the following paragraphs), if applicable to my Application.
12. In the event of any difference in interpretation or meaning between the Chinese and English versions of these authorisations, I agree that the English version shall prevail.



**Direct Marketing Authorisation (Applicable to all accounts)**

I consent for the Broker and the Broker's Group Company to use my personal data in direct marketing, unless I indicate disagreement by ticking [√] in the following box:

No

The above represents my present choice whether or not to receive direct marketing contact or information. This replaces any choice communicated by me to the Broker prior to this Application.

My above choice applies to the direct marketing of the classes of products and services as set out in the Broker's policy statement relating to the Personal Data (Privacy) Ordinance (Cap. 486 of the Laws of Hong Kong), provided together with relevant Terms and Conditions. I should also refer to the policy statement on the kinds of personal data which may be used in direct marketing.

**Standing Authority for Client Money (Applicable to all accounts)**

This authority covers money held or received in Hong Kong by the Broker and/or the Broker's Group Company (including any interest derived from the holding of the money which does not belong to the Broker) in one or more segregated account(s) on my behalf "(Monies)".

Unless otherwise defined, all the terms used in this authority shall have the same meanings as in the Securities and Futures Ordinance (Cap 571 of the Laws of Hong Kong) (the "Securities and Futures Ordinance") and the Securities and Futures (Client Money) Rules (Cap 571I of the Laws of Hong Kong) as amended from time to time. This instruction authorises the Broker to do any of the following without giving me notice:

1. combine or consolidate any or all segregated accounts of mine, of any nature whatsoever, maintained by the Broker or the Broker's Group Company (as defined in the Terms and Conditions) and the Broker may set-off or transfer any sum of Monies to and between such segregated account(s) to satisfy my obligations or liabilities to any member of the Broker's Group Company, whether such obligations and liabilities are actual, contingent, primary or collateral, secured or unsecured;
2. transfer any sum of Monies to any futures trading/clearing/settlement account(s) maintained by the Broker with its agent broker(s) and/ or clearing agent(s) for purpose of dealing in global futures transactions for and on behalf of me, if I maintain futures trading account(s) with the Broker; or
3. transfer any sum of Monies interchangeably between any of the segregated accounts maintained at any time by any member of the Broker's Group Company.

**Standing Authority for Client Securities (Applicable to Margin Account Only)**

1. I confirm that I fully understand the contents of this authority and I further confirm my authorisation to the Broker to deal with the securities in the Margin Account opened or to be opened with the Broker to the extent permissible under the applicable laws, rules and regulations, including but not limited to the following:

- (a) dispose of any securities collateral in settlement of (i) my obligation to maintain the agreed level of margin; and (ii) any other liability of me to the Broker;
- (b) deposit the securities collateral in the Margin Account with an authorised institution (as defined in the Banking Ordinance (Cap 155 of the Laws of Hong Kong)) as collateral for financial accommodation provided by that authorised institution to the Broker;
- (c) deposit the securities collateral with a recognised clearing house (as defined in the Securities and Futures Ordinance) or an intermediary licensed or registered for dealing in securities as collateral for the discharge and satisfaction of the Broker's settlement obligations and liabilities;
- (d) apply the securities or securities collateral pursuant to a securities borrowing and lending agreement; or
- (e) apply or deposit any of the securities collateral in accordance with Clause 1(a), 1(b), 1(c) and/or 1(d) above if the Broker provides financial accommodation to me in the course of dealing in securities and also provides financial accommodation to me in the course of any other regulated activity for which the Broker is licensed or registered.

2. I confirm that I fully understand the contents of this authority and the authorisation for the matters described in sub-paragraph 1(a) shall be effective for an indefinite duration and the authorisations for the acts described in sub-paragraphs 1(b), 1(c), 1(d) and 1(e) shall be valid from the date of this authority for a period of twelve (12) months. The Broker will send to me a reminder at least fourteen (14) days prior to the expiry of this authority. I understand that if no objection is received by the Broker before the expiry date of the then existing authority, the authority is deemed to be renewed (without my written consent) for another twelve (12) months from the date of expiry. At any point in time, the authority may be revoked and the revocation will be effective seven (7) Business Days after the Broker's actual receipt of the original written revocation bearing my signature.

3. I understand that if the Broker lends or deposits any securities in the Margin Account to a third party, the return of such securities may be subject to the Broker discharging its obligations to such third party.

4. I confirm that the Broker may refuse to draw on the facility granted to me to settle any transaction if I do not give any authorisation required under any applicable laws, rules or regulations. I confirm that the above authorisations are transferable by the Broker or the Broker's assigns.

5. I also confirm that, unless otherwise disclosed to the Broker in writing:-

- (a) my spouse is not a margin account client of the Broker; and
- (b) I do not control (either alone or together with my spouse) 35% or more of the voting rights of another corporate margin account client of the Broker.

I hereby agree to indemnify and to keep indemnified, the Broker, its agent broker(s) and/or clearing agent(s) from and against all losses, damages, interests, costs, expenses, actions, demands, claims or proceedings of whatsoever nature which they (or any of them) may incur, suffer and/or sustain as a consequence of any transaction undertaken in pursuance of this authority.

This authority is given to the Broker in consideration of its agreeing to continue to maintain one or more trading account(s) at my choice with this Account Opening Form. This authority is given without prejudice to other authorities or rights which the Broker or the Broker's Group Company may have in relation to dealing in Monies in the segregated accounts.

This authority shall be valid for a period of twelve (12) months from the date of this authority, unless otherwise terminated by the Broker or revoked by me with notice in writing to the Broker. This authority may be revoked by me by giving the Broker written notice addressed to the Broker's Documentation Control Department at the Broker's address specified above. Such notice shall take effect seven (7) Business Days after the date of the Broker's actual receipt of such notice unless otherwise determined by the Broker.

I understand that this authority shall be deemed to be renewed on a continuing basis for a further period of not more than twelve (12) months without my written consent if the Broker issues me a written reminder at least fourteen (14) days prior to the expiry date of this authority, and I do not object to such deemed renewal before such expiry date.

I acknowledge that my assets (including Monies) received or held by the licensed or registered person outside Hong Kong are subject to the applicable laws and regulations of the relevant overseas jurisdiction which may be different from the Securities and Futures Ordinance and the rules made thereunder. Consequently, such client assets may not enjoy the same protection as that conferred on client assets received or held in Hong Kong.

I confirm that this authority has been clearly explained to me. I understand fully the contents of this authority and I have sought, or have had the opportunity to seek, legal advice concerning its contents and effects.



申請人及見證人簽署 SIGNED BY APPLICANT AND WITNESS

申請人簽署 \* Signature of Applicant\* /  
第一聯名申請人簽署 \* Signature of First Joint Applicant\*

第二聯名申請人簽署 \* Signature of Second Joint Applicant\*

姓名 Name : \_\_\_\_\_

姓名 Name : \_\_\_\_\_

\* 本簽署將被用作簽名樣本。

This signature will be used as specimen signature.

見證人簽署\* Signature of Witness\*

見證人姓名 \_\_\_\_\_ 身份證號碼／護照號碼 \_\_\_\_\_ 日期 \_\_\_\_\_  
Name of witness : \_\_\_\_\_ ID no./Passport no. : \_\_\_\_\_ Date : \_\_\_\_\_

\* 見證人必須為持牌人或經紀人集團公司的員工。

Witness must be either a licensed person, or employee of the Broker's Group Company.

持牌人聲明 DECLARATION BY A LICENSED PERSON

本人 \_\_\_\_\_ (中央編號： \_\_\_\_\_) (大寫) 謹此聲明經紀人已按申請人所選語言 (英文或中文) 向其提供合適的風險披露聲明及免責聲明。本人進一步聲明，本人已邀請申請人仔細閱讀整份風險披露聲明及免責聲明，並已邀請申請人提問及按個人需要尋求獨立意見。

I, \_\_\_\_\_ (BLOCK LETTERS) (CE No.: \_\_\_\_\_) (BLOCK LETTERS), hereby declare that the Broker has provided the Applicant with the Risk Disclosure Statements and Disclaimers in a language chosen by the Applicant (English or Chinese). I further declare that I have invited the Applicant to read the Risk Disclosure Statements and Disclaimers thoroughly, ask questions and take independent advice if the Applicant wishes.

持牌人簽署 Signature of licensed person \_\_\_\_\_ 日期 Date \_\_\_\_\_

