



CORPORATE ACCOUNT OPENING FORM

公司/機構開戶申請書

Company 公司

Hong Kong Securities (International) Company Limited
香港證券(國際)有限公司

Room 706, 7/F, Tai Tung Building, 8 Fleming Road, Wan Chai, Hong Kong
香港灣仔菲林明道8號大同大廈7樓706室

W : www.hksecurities.com.hk T : (852) 2893 5566 F : (852) 2893 8813 CE No. 編號 : AST016

Account No.:
戶口號碼

Cash Account 現金戶口 Margin Account 保證金戶口

Account Applicant's Personal Information 戶口申請人之個人資料

In English 英文	In Chinese 中文
Nature of Entity 組織類別 <input type="checkbox"/> Sole Proprietor 獨資 <input type="checkbox"/> Partnership 合夥 <input type="checkbox"/> Corporation 公司 <input type="checkbox"/> Trust 信託	Place of Incorporation 公司註冊地
Certificate No. of Incorporation 公司註冊號碼	Business Registration No. in Hong Kong 香港商業登記證號碼
Nature of Business 業務性質	Date of Incorporation 註冊日期 (dd/mm/yyyy 日/月/年)
Tel No. 電話號碼	Fax No. 傳真號碼
Registered Address 註冊地址	
E-mail Address 電郵地址 (Mandatory for eTrade applicant 電子交易申請人必須填寫)	
Principal Business Address 主要營運地址	

Licensed / Registered Person Declaration 持牌 / 註冊人士申報

Is any applicant's director, shareholder or authorized person related to any employee or licensed representative of Hong Kong Securities (International) Company Limited ("Hong Kong Securities (International)") or its associated company?

貴公司是否有任何董事、股東、獲授權人士與香港證券(國際)有限公司(以下簡稱“香港證券(國際)”)或其聯繫公司的任何僱員或持牌代表有關連?

No 否 Yes 是, Name 姓名: _____ Relationship 關係: _____

Name 姓名: _____ Relationship 關係: _____

Is applicant a member or participant registered with any stock or commodities exchange or regulated or supervised by any government or regulatory agency?

貴公司是否為任何股票或期貨交易所的註冊會員或參與者, 或受任何政府或監管機構所規管或監管?

No 否 Yes 是, License No. 牌照號碼: _____

Is any of applicant's director, shareholder or authorized person is licensed/registered representative of SFC?

貴公司是否有任何董事、股東、獲授權人士是證監會持牌/註冊代表?

No 否 Yes 是, Name 姓名: _____ Relationship 關係: _____

Name 姓名: _____ Relationship 關係: _____

Account Applicant's Other Information 戶口申請人之其他資料

Are you the ultimate beneficial owner(s) of the account? (The information is required by The Securities & Futures Commission's Client Identity Rule Policy)

貴公司是否此戶口之最終實益擁有人? (所需資料是根據香港證券及期貨事務監察委員會所製定的客戶身份規則的政策摘要)

Yes 是

No, please provide details of the ultimate beneficial owner(s) 否, 請提供最終實益擁有人的詳細資料:

Name 姓名	HKID / Passport No. 香港身份證 / 護照號碼	
Contact No. 聯絡電話	Date of Birth 出生日期 (dd/mm/yyyy 日/月/年)	Nationality 國籍
Address 地址		

Do you maintain any other account(s) with **Hong Kong Securities (International) Company Limited**?

閣下現時是否已持有其他香港證券(國際)有限公司之戶口?

No 否

Yes, please provide details 是, 請提供詳細資料:

Name 姓名	Account Type 戶口類別	Account No. 戶口號碼
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Authorized Instructions 授權指示

The applicant has authorized as resolved in a corporate resolution (as attached) any of the following person(s) (the "Trading Officer(s)") with full discretion to give written and/or oral instructions in relation to buying, selling or other dealing in securities for the Account.

申請者根據公司決議(見附件)授權以下人士("交易人員")全權就所開立之交易戶口的交易, 以書面及/或口頭方式發出買、賣或其他相關指示。

Name 姓名	Relation/Position 關係/職位	ID/Passport No. 身份證/護照號碼	Contact No. 聯絡電話	Signature 簽署

Signing Arrangement 簽署安排

The applicant has authorized as resolved in a corporate resolution (as attached) that the Account may be operated on the instructions of any _____ of the following person(s) the "Signing Officer(s)", pursuant to signature arrangements below:

申請者根據公司決議(見附件)授權戶口將按以下所列的簽名安排, 由下列的任何人士("文件簽署人員")發出運作指示:

Name 姓名	Relation/Position 關係/職位	ID/Passport No. 身份證/護照號碼	Contact No. 聯絡電話	Signature 簽署

Applicant's Banker / Custodian Reference 申請者銀行 / 信託資料

(Funds will be transferred to the following account pursuant to your fund withdrawal instruction. 款項將根據客戶的提款指示轉入以下戶口)

<input type="checkbox"/> Banker 銀行	<input type="checkbox"/> Custodian 信託	<input type="checkbox"/> Safe Keeping with HK Securities (International) 香港證券(國際) 保管
Banker's Name 銀行名稱：		
Account Name 帳戶名稱：		Account No. 帳戶號碼：

Applicant's Financial Background & Investment Experience 申請者之財務狀況及投資經驗

(The Company is required to obtain this information to fulfill the "know-your-client requirements" of the Securities and Futures Commission of Hong Kong. 本公司根據香港證券及期貨事務監察委員會所製定之「認識你的客戶要求」而索取有關資料。)

Estimated Annual Income (HK\$) 估計年薪(港元) <input type="checkbox"/> Under HK\$200,000 以下 <input type="checkbox"/> HK\$500,001 - HK\$1,000,000 <input type="checkbox"/> Above HK\$5,000,000 以上 <input type="checkbox"/> Other Income Source 其他收入來源: _____	Approximate Net Asset Value (HK\$)(Total Asset - Total Liabilities) <input type="checkbox"/> Under HK\$500,000 以下 <input type="checkbox"/> HK\$3,000,001 - HK\$5,000,000 <input type="checkbox"/> Above HK\$30,000,000 以上 <input type="checkbox"/> HK\$500,000 - HK\$3,000,000 <input type="checkbox"/> HK\$5,000,001 - HK\$30,000,000
Educational Background 教育程度： <input type="checkbox"/> Primary School 小學 <input type="checkbox"/> Secondary School 中學 <input type="checkbox"/> University or above 大學或以上 <input type="checkbox"/> Others 其他：_____	
Investment Objectives 投資目標： 1. <input type="checkbox"/> Long Term 長線 (over 2 years 超過二年) <input type="checkbox"/> Medium Term 中線 (6-24 months 六至二十四個月) <input type="checkbox"/> Short Term 短線 (Less than 6 months 少於六個月) 2. <input type="checkbox"/> Capital Growth 增值 <input type="checkbox"/> Dividend Income 股息收入 <input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Speculation 投機	

Investment Experience & Product Knowledge 投資經驗及產品認識	Years of Experience 投資經驗(年資)	Related Working Experience 相關工作經驗	Undergone Training / Attended Course 曾接受培訓或修讀課程	5 or more Transactions within the past 3 years 三年內交易五次或以上
Shares 股票	_____	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有
Bonds 債券	_____	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有
Unit Trusts / Mutual Funds 單位信託/互惠基金	_____	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有
*Derivative Warrants 衍生權證	_____	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有
Callable Bull / Bear Contracts 牛熊證	_____	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有
Futures 期貨	_____	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有
Options 期權	_____	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有

Knowledge of Derivatives 對衍生工具認識 (Questionnaire 問卷)	
1. I/We wish to trade derivatives products including but not limited to derivative warrant, Callable Bull/Bear contract, Exchange Traded Fund, Equity Linked Instrument/Equity Linked Note etc. 本人/吾等有意交易衍生產品，包括但不限於衍生認股權證、牛熊證、交易所買賣基金、股票掛鈎票據等。	<input type="checkbox"/> YES 是 <input type="checkbox"/> NO 沒有
2. I/We have undergone training and/or attended courses either in form of online or classroom offered by academic institutions or financial institutions on derivative and/or structured products and I am fully aware of the nature and risks of this kind of investment products. 本人/吾等已經接受及/或參加由學術機構或金融機構所提供有關衍生工具及/或結構性產品的在線或教室形式培訓及/或課程，而本人亦完全了解此等投資產品的性質和風險。	<input type="checkbox"/> YES 是 <input type="checkbox"/> NO 沒有
3. I/We possess more than 1 year working experience related to derivative products. 本人/吾等擁有 1 年以上有關衍生工具產品及/或結構性產品的工作經驗。	<input type="checkbox"/> YES 是 <input type="checkbox"/> NO 沒有
4. In the past 3 years, I/We have executed 5 or more transactions relating to derivative and/or structured products. 在過去 3 年中，本人/吾等曾執行過 5 宗或以上有關衍生工具及/或結構性產品的交易。	<input type="checkbox"/> YES 是 <input type="checkbox"/> NO 沒有

Financial Background 財務狀況

Paid-up Capital 已繳股本： _____

Latest Net Asset Value (HK\$) 最近資產淨值 (港元)	<input type="checkbox"/> < HK\$1,000,000	<input type="checkbox"/> HK\$1,000,001 – HK\$5,000,000	<input type="checkbox"/> HK\$5,000,001 – HK\$10,000,000
	<input type="checkbox"/> HK\$10,000,001 – HK\$50,000,000	<input type="checkbox"/> HK\$50,000,001 – HK\$100,000,000	<input type="checkbox"/> > HK\$100,000,001
Latest Profit after Tax (HK\$) 最近稅後盈利 (港元)	<input type="checkbox"/> < HK\$100,000	<input type="checkbox"/> HK\$1,000,001 – HK\$5,000,000	<input type="checkbox"/> HK\$5,000,001 – K\$10,000,000
	<input type="checkbox"/> > HK\$10,000,000		
Investment Experience 投資經驗	<input type="checkbox"/> Less than 1 Year 少於 1 年	<input type="checkbox"/> 1-5 Years 年	<input type="checkbox"/> 6-10 Years 年
			<input type="checkbox"/> Over 10 Years 超過 10 年
Investment Objectives 投資目的	<input type="checkbox"/> Dividend Income 股息 收入	<input type="checkbox"/> Capital Gain 資本增值	<input type="checkbox"/> Hedging 對沖
			<input type="checkbox"/> Speculation 投機
Experienced Products 投資產品	<input type="checkbox"/> Stock 股票	<input type="checkbox"/> Derivative 衍生工具	<input type="checkbox"/> Bond 債券
			<input type="checkbox"/> Mutual Fund/Unit Trust 基金

Password Delivery 收取密碼形式

(Please fill in by the Primary Account Holder for Joint Account 如屬聯名戶口，則需由主要戶口持有人填寫)

Which way do you prefer to deliver the password? (Applicable to Internet Trading Account Clients only)

閣下希望以何種方式收取密碼? (只適用於電子交易客戶)

 Pick up in Person 親自提取
 By Mail 郵寄收取
 By E-mail 電郵收取
Real-Time Quote Services 即時報價服務

(Please fill in by the Primary Account Holder for Joint Account 如屬聯名戶口，則需由主要戶口持有人填寫)

Do you need Real Time Quote service?

閣下是否需要即時報價服務?

 Yes 是 (需另填寫表格及額外收費)
 No 否
CORRESPONDENCE 通訊

(Please fill in by the Primary Account Holder for Joint Account 如屬聯名戶口，則需由主要戶口持有人填寫)

Do you accept to receive Trading Confirmations and Statements via email?

閣下是否接受通過電郵收取交易確認通知和戶口結單?

 Yes 是
 No 否 (Another application form needed to be fill in 另需填寫申請表格)

Applicant's Signature 申請人簽署：



CORPORATE BOARD RESOLUTION 公司決議

We hereby certify that the following board resolutions have been passed by the Board of Directors of _____ (the Company) at a Meeting of the board duly convened and held at _____ on _____ at which a quorum was presented and acted throughout in accordance with the Articles of the Company and have been duly recorded in the Minutes Book of the Company without amendment and that the same are now in full force and effect. 公司茲確認，下列決議案經 _____ (下稱公司) 董事會於 _____ 年 _____ 月 _____ 日，在 _____ 正式召開之董事局會議通過，該會議自始至終按照公司章程規定維持足夠法定人數，保持並載入公司之會議記錄冊內，而該決議案未有被修訂，並且正全面執行及生效。

IT WAS RESOLVED 決議通過：

1. THAT a securities cash / margin* account(s) (the "Account(s)") be opened with Hong Kong Securities (International) Company Limited ("The Broker"). 於香港證券(國際)有限公司 (下稱「經紀」) 開立股票現金/保證金交易帳戶 (下稱「帳戶」)。
2. THAT a client services agreement ("the Agreement") was tabled in the meeting and the terms set out in the Agreement and the particulars in connection with the opening of the Account were approved and adopted in all aspects and as amended from time to time. 客戶服務協議書 (下稱「協議書」) 已於會議中傳閱協議書中的條款與開立帳戶有關的詳情已獲批准，其全部及不時之修改亦已採納。
3. THAT any director of the Company and/or each of the following persons (each an Authorized Person) has the power to do any and all of the following: 任何公司董事及/或每一下列人仕 (每一授權人) 有權作任何及全部下述行為：

Name姓名	Position職位	ID/Passport No.身份證/護照號碼	Signature簽署

- i. To sign any document in connection with the opening of the Account(s) and to deliver the signed original to The Broker; 簽署任何與開立該帳戶有關的文件並把正本送達經紀；
 - ii. To give written instructions to The Broker with respect to securities trading transactions; 向經紀發出有關證券交易的書面指令；
 - iii. To bind and commit the Company to any contract, arrangement or transaction entered into with or through The Broker for and on behalf of the Company; 致使公司予以約束及承諾履行其代表公司與或透過經紀所訂立的任何合約、安排或交易；
 - iv. To receive requests and demands for additional margin, notices of intention to sell or purchase and other notices and demands of whatever character; 收取索求支付額外保證金通知，買賣意圖通知或任何其他性質的通知或要求；
 - v. To deliver any amount of any agreed money or securities to The Broker and to authorize the transfer or delivery of any amount or any money or securities to any other person; 交付任何金額及任何相互同意之貨幣或證券至經紀及授權轉賬或交付任何金額及任何貨幣 或證券予任何其他人士；
 - vi. To settle, compromise, adjust and give releases in connection with any such Account with respect to any and all claims, disputes and controversies; 就有關此帳戶的任何及所有索償，糾紛及衝突，進行解決、和解、調整或給予對方豁免；
 - vii. To do and take any and all action necessary in connection with the Account. 進行及採取任何及/或全部與帳戶有關的所需行動。
4. THAT these Resolutions shall remain in force, and that The Broker shall be entitled to rely on the same until an amending resolution shall be passed and has been received by The Broker. 此決議將維持有效，而經紀有權依賴此決議直至修訂決議通過及被經紀接獲。

_____(Signature of Chairman 會議主席)

Name 姓名 _____

Date 日期 _____

Margin Facility and Margin Requirements 保證金客戶授權函件

These terms for Securities margin financing are supplemental to the Customer Agreement between you and Hong Kong Securities (International) Company Limited (hereinafter as "We", "Us" or "Our"). Terms defined in the Customer Agreement shall have the same meaning when used here. 此等證券保證金信貸條款為閣下跟香港證券(國際)有限公司(以下簡稱「吾等」)訂立之客戶協定之補充條件及條款。于客戶協定的定義的詞語在此具有相同的意義。

Unless otherwise agreed by us in writing, any Margin Facility made available by us to you from time to time at your request shall be subject to the following terms and conditions: - 除非吾等另有書面同意, 吾等按閣下所要求而向閣下不時提供的任何保證金信貸以下簡稱「保證金信貸」須受下述之條件及條款 (以下簡稱「該協議」)約束:

- (a) You hereby authorize us to open and maintain in your name one or more Accounts through which the Margin Facility is made available ("the Margin Account(s)"). For such Margin Account(s), we will provide financial accommodation to facilitate the subscription of new issue of Securities, the acquisition of listed Securities and, where applicable, for the continued holding of those Securities. We are authorized to draw on the Margin Facility any amount due to us in respect of any of your Transactions. You will not be able to withdraw funds under the Margin Facility unless with our consent. 閣下授權吾等以閣下的名義開立及維持一個或多個戶口, 透過該等戶口向閣下提供保證金信貸以下簡稱「保證金信貸戶口」。就該(些)保證金戶口, 吾等只可提供利便認購新發行之股票、取得上市證券或繼續持有(如若適用)該等證券的財務通融。吾等獲受權從保證金信貸中提取閣下就任何閣下的交易欠令吾等的金額。閣下將不能根據此信貸安排提取款項, 除非得吾等同意。
- (b) The Margin Facility shall be subject to our overriding right of demand for repayment at any time and we may in our discretion prescribe such limits on the amount available for drawing under the Margin Facility from time to time. The Margin Facility may also be terminated by us at any time without prior notice to you. 吾等在任何時間有凌駕權隨時要求還款。吾等並且有酌情權就不時可供借貸的保證金額訂明限制。吾等可於任何時間終止保證金信貸毋需向閣下發出事先通知。
- (c) You shall comply with all requirements prescribed by us from time to time as to the provision of margin and security for the Margin Facility including, without limitation, the execution by you or such other persons of such form of security and related documents as we may from time to time require. You will be notified of such requirements from time to time but they are subject to change at any time without prior notice. 閣下須遵守由吾等就保證金信貸而不時需要閣下提供因保證金及抵押而訂明的所有規定, 包括但不限於閣下或其他人士需要簽署由吾等不時要求的抵押及相關檔。閣下將獲不時告知該等要求, 但該等要求可在任何時間毋需事先通知作出更改。
- (d) Drawings on the Margin Facility by you shall be subject to our being satisfied with the form and value of the margin and security provided to us at all relevant times and subject further to such procedures as we may prescribe from time to time. 在所有有關時間內, 保證金及抵押的形式及價值均必須令吾等滿意, 閣下方可提取保證金信貸, 閣下並且須要依據吾等不時訂立的程序提取保證金信貸。
- (e) Interest (and default interest) shall be payable on any amount outstanding under the Margin Facility at such rate and in such manner as we may from time to time determine and notify you and shall accrue from day to day on the daily amounts outstanding. 閣下須就保證金信貸的任何欠款金額逐日計算的利息(及因欠繳而須支付的利息), 利率及支付方式由吾等不時決定並通知閣下。
- (f) If there is a debit balance in any of your Accounts which is a cash account and you hold a Margin Account, interest will be calculated on the combined debit balance and charged to the Margin Account. 如閣下在吾等開立的任何現金戶口有借方餘而閣下同時持有保證金信貸戶口, 計算應繳利息時將會結合兩個戶口的借方結餘, 而利息將會記錄在保證金信貸戶口內。
- (g) You shall deposit initial margin and/or additional margin with us in such form and amount and within such time as we may require from time to time and at any time. We reserve the right to vary any margin requirements as we may consider appropriate and you shall check with us to ascertain the applicable margin requirements from time to time. 閣下須依據吾等隨時及不時要求的形式及價值及時間內, 存入符合吾等要求的初步保證金及/或額外保證金。吾等保留在吾等認為適當時修改任何保證金規定。
- (h) Any failure by you to meet any margin calls or to comply with any other provisions in this Agreement shall entitle us to close out or liquidate in any manner any or all Securities in your Margin Account(s) without further notice to you. 如果閣下未能遵守任何保證金追收通知或未能遵守本協議中的任何條款, 吾等即有權以任何方法並毋須通知閣下代閣下就任何或所有於保證金追收通知或未能遵守本協議中的任何條款, 吾等即有權以任何方法並毋須通知閣下代閣下就任何或所有於保證金信貸戶口的證券進行交易平倉或斬倉。
- (i) You shall, upon our demand at any time, repay to us all principal and interest accrued thereon outstanding under the Margin Facility, but nothing in this Clause shall prejudice our rights, powers and remedies under any security document executed in our favor in respect of the Margin Facility. 閣下與就吾等隨時作出之要求清償所有保證金信貸的本金及利息, 但此條款不會妨礙閣下就保證金信貸向吾等提供的任何抵押賦予吾等的權力及補償。
- (j) Repayments of any amount outstanding under the Margin Facility may be made at any time and, subject to availability of funds and the provisions in this Agreement, amounts repaid shall be available for re-drawing. 保證金信貸欠款可以隨時清償。在具備可動用金額的情況下及本協定條款約束下, 已清償的數額可以再借。
- (k) In consideration of the Margin Facility made and to be made available to you from time to time, you as beneficial owner charge by way of security and release to us all your right, title and interest in and to each of your Account(s) including all the Securities, dividends, interest, stocks, shares, rights, money or property payable or accruing at any time hereafter by way of redemption, bonus, preference, option or otherwise until all indebtedness owing by you to us at any time in connection with the Margin Facility whether actually or contingently including interest thereon and all expenses incurred by us in enforcing and preserving our rights under this Agreement (collectively "the Secured Indebtedness") have been paid or discharged in full. 鑒於吾等向閣下提供及不時提供及不時供保證金信貸, 閣下以實益擁有人身份把閣下每個戶口包括所有證券、在任何時候因贖回、紅利、優先權、期權或其他情況產生或積累之股息、利息、股票、股份、權益、金錢或財產享有的所有權利、業權及權益抵押予吾等以作為保證, 直至完全清償閣下就保證金信貸欠吾等的所有欠款不論實際的或(有的)。包括應繳利息及吾等因執行及保護本協議賦予吾等的權利而引致的所有的合理支出版合稱「抵押款項」)。
- (l) A certificate of balance signed by any of our authorized officers shall be conclusive evidence against you of the amount of the Secured Indebtedness owing at any time unless and until the contrary has been established. 除非及直至被推翻。在任何時候由吾等任何獲授權人員簽署給閣下的欠款證明書將構成抵押款項數額的最終證據。
- (m) No amount in any of the Margin Account(s) shall be released to, withdrawn from or otherwise dealt with by, you without our consent. 沒有吾等的同意下, 任何保證金信貸戶口內的任何數額均不得發放、提取或以其他方式處理任何數額。
- (n) The security created by Clause (k) above is a continuing security and is in addition to, shall not be affected by and may be enforced despite the existence of any other

security held by us in respect of the Margin Facility. Any restriction on the right of consolidating security shall not apply to this security. If any event referred to in Clause (h) above occurs, we shall be entitled to enforce this security and may, without demand, notice, legal process or any other action against you, retain or apply the whole or any part of the assets held in all or any of the Margin Account(s) and/or any credit balance in any currency on all or any of your other Accounts with us, in or towards satisfaction of the Secured Indebtedness and we shall not be liable for any loss arising out of such retention or application. 上述第(k)條款的抵押屬於一項持續及額外抵押，並可以執行而不受任何吾等就保證金信貸持有的其他抵押影響。任何對合併抵押的權利的限制均不適用於本抵押。如果在上述等(h)條所指的任何情況發生，吾等即有權執行本抵押，並且可以在未有向閣下發出要求、通知、法律程序或採取任何其他行動的情況下，保留或運用在所有或任何保證金信貸戶口內的全部或任何部份資產及/或閣下在吾等開立的所有或任何其他戶口內任何貸方結餘(不論任何貨幣單位),清償抵押款項。而吾等就因該保留或運用所致的任何損失毋須負責。

- (o) If you create or purport to create any security (whether fixed or floating) over any of the Margin Account(s) or any part of it or if any person levies or attempts to levy any form of process against any of the Margin Account(s) or any part of it, the security created by Clause (k) above, to the extent that it may be a floating charge, shall automatically and without notice operate as fixed charge instantly such event occurs. 如果閣下針對任何保證金信貸戶口或對其任何部份製造或意圖製造任何抵押(不論固定或浮動),或如果任何人針對任何保證金信貸戶口或對其任何部份實施或意圖實施任何形式的法律程序,根據上述第(k)條項下的抵押,如在任何程度上該保證金戶口可能成為一浮動抵押,吾等即毋須通知閣下並自動及即時在有關情況出現時作為一項固定抵押般運作。
- (p) You hereby authorize us at any time and without prior notice to you to: 吾等茲獲閣下授權在任何時間任毋須事先通知閣下:
- (i) apply any of your Securities in your Accounts (including the Margin Account) pursuant to a securities borrowing and lending agreement; 依根據證券借貸協定運用閣下戶口(包括保證金信貸戶口內之證券);
 - (ii) deposit any of your Securities in the Margin Account with an authorized institution as collateral for financial accommodation provided to us; 將閣下任何保證金信貸戶口內之證券存放於認可財務機構作為對吾等提供的財務融通之抵押品;
 - (iii) deposit any of your Securities in the Margin Account with a recognized clearing house or another intermediary licensed or registered for dealing in securities as collateral for the discharge and satisfaction of our settlement obligations and liabilities. 將閣下任何保證金信貸戶口內之證券存放於認可結算所底另一持牌或註冊進行證券交易的中介人作為解除及抵償吾等履行義務及責任之抵押品。
- The term of your authorization contained in this Clause (q) shall be for a period commencing from the date of Agreement to 31 December of the calendar year when this Addendum is executed, and may be renewed or shall be deemed to be renewed upon its expiry date for a period of twelve months in such manner as may be required by applicable laws, regulations and codes of conduct from time to time. You may withdraw such authorization by giving us notice in writing of not less than 5 business days conditional upon your having discharged all outstanding debts owed to us. 本第(q)段所載的授權期限應由本協議訂立日起計至每年十二月三十一日,並可按適用法律、法規及操守準則的要求於授權的期限屆滿時重續,每次另續十二個月。若閣下已解除所有欠付吾等的責任,閣下向吾等發出不少於5個工作天的事先通知取消此授權。
- (q) Any Securities which are held by us for the Margin Account may, at our discretion, be: 就吾等為保證金信貸戶口保管之任何證券,吾等可等可酌情:
- (i) registered in your name; 以閣下之名義登記;
 - (ii) registered in our name or in the name of our associated entity (as defined in the Securities and Futures Ordinance); 以吾等或吾等有聯繫實體(定義見證券及期貨條例)之名義登記;或
 - (iii) deposited in safe custody in a designated account of our banker or with such other appropriate institution which provides safe custody of securities for us; 存放於吾等之銀行或提供安全保管設施之任何其他合適用法律或法規所允許之機構指定戶口內保管。
- (r) You hereby irrevocably appoint us to be your attorney and in your name and on your behalf and as your act or deed or otherwise, without reference to or consent from you, to execute all documents and to do all things as may be required for the full exercise of all or any of the powers conferred on us and our rights under this Agreement as we may consider expedient in connection with the exercise of such powers and rights. You shall, at our request, execute such documents and perform such acts as we may consider expedient in connection with the exercise of our powers and rights under this Agreement. 閣下不可撤回委任吾等為閣下的受權人,毋須得到各下同意,以閣下的名義及代表閣下(不論作為閣下的行為或其他方式)就全面行使本協議賦予吾等的所有或任何權力及權利簽署吾等認為適當之檔及採取吾等認為適當的所有行動。閣下並且須在吾等要求時,就行使本協議賦予吾等的權力及權利簽署吾等認為適當之檔及採取吾等認為適當之行動。
- (s) Any money paid to us in respect of the Secured Indebtedness may be applied in or towards satisfaction of the same or placed to the credit of such account as we may determine with a view to preserving our rights or prove for the whole of the Secured Indebtedness. 就抵押款項向吾等支付的任何款項向吾等支付的任何款項可以運用以清償抵押款項,或存放在任何吾等開立的戶口以求保護吾等的權利或就全部抵押款項提出債權證明。
- (t) We may, at any time, continue any existing account and open new account in your name and no subsequent Transactions, receipts or payments involving such new accounts shall affect your liability. 吾等可以隨時及/或繼續就任何現有戶口及以閣下名義開立新戶口,而涉及該等新戶口的交易、收款或付款均不應該影響閣下的責任。
- (u) This Addendum shall form part of the Customer Agreement 本附件構成客戶協定的一部份。

Signed by 客戶簽署: .

Authorized Signature Print Name (in BLOCK letters) (Corporate Applicant, with company chop) 授權簽署 (如屬公司客戶 - 請蓋上公司印章)

Title (Corporate Applicant) 職銜 (如屬公司客戶) : _____

Account Name 客戶名稱 : _____

ID / Passport / CI No 身份證 / 護照 / 公司註冊號碼. : _____

Date 日期 : _____

Standing Authority 常設授權

Authority Under Securities and Futures (Client Securities) Rules 根據《證券及期貨(客戶證券)規則》所設立的常設授權

This letter of authority is in respect of the treatment of my/our securities or securities collateral as set out below. 本授權書是有關處置本人/吾等之證券或證券抵押品，詳列如下：

Unless otherwise defined, the terms used in this letter shall have the same meanings as in the Securities and Futures Ordinance and the Securities and Futures (Client Securities) Rules as amended from time to time. 除非另有說明，本授權書之名詞與證券及期貨條例及證券及期貨(客戶證券)規則不時修訂之定義具有相同意思。

本授權書授權 貴公司：

This letter authorizes you to:

1. apply any of my/our securities or securities collateral pursuant to a securities borrowing and lending agreement; 1. 依據證券借貸協議運用任何本人/吾等的證券或證券抵押品；
2. deposit any of my/our securities collateral with an authorized financial institution as collateral for financial accommodation provided to you; 2. 將任何本人/吾等的證券抵押品存放於認可財務機構，作為該機構向 貴公司提供財務通融之抵押品；
3. deposit any of my/our securities collateral with Hong Kong Securities Clearing Company Limited ("HKSCC") as collateral for the discharge and satisfaction of your settlement obligations and liabilities. I/We understand that HKSCC will have a first fixed charge over my/our securities to the extent of your obligations and liabilities; 3. 將任何本人/吾等的證券抵押品存於香港中央結算有限公司(「中央結算」)，作為解除 貴公司在交收上的義務和清償貴公司在交收上的法律責任的抵押品。本人/吾等明白中央結算因應 貴公司的責任和義務而對本人/吾等的證券設定第一固定押記；
4. deposit any of my/our securities collateral with any other recognized clearing house, or another intermediary licensed or registered for dealing in securities, as collateral for the discharge and satisfaction of your settlement obligations and liabilities; and 4. 將任何本人/吾等的證券抵押品存於任何其他認可結算所或任何其他獲發牌或獲註冊進行證券交易的中介人，作為解除貴公司在交收上的義務和清償 貴公司在交收上的法律責任的抵押品；及
5. apply or deposit any of my/our securities collateral in accordance with paragraphs (1), (2), (3) and/or (4) above if you provide financial accommodation to me/us in the course of dealing in securities and also provide financial accommodation to me/us in the course of any other regulated activity for which you are licensed or registered. I/We understand that a third party may have rights to my/our securities, which you must satisfy before my/our securities can be returned to me/us. This authority is valid for a period of 12 months from the date of this letter and you are authorised to fix an expiry date within such 12-month's period by giving me a written notice of at least 14 days prior to such expiry date which you fixed.

This authority may be revoked by giving you written notice addressed to the Customer Service Department at your address specified above. Such notice shall take effect upon the expiry of two weeks from the date of your actual receipt of such notice.

I/We understand that this authority may be deemed to be renewed on a continuing basis without my/our written consent if you issue me/us a written reminder at least 14 days prior to the expiry date of this authority, and I/we do not object to such deemed renewal before such expiry date.

In the event of any difference in interpretation or meaning between the Chinese and English version of this authority, I/We agree that the English version shall prevail. This authority and your pledging practice have been explained to me/us and I/we understand and agree with the contents of this authority. 5. 如 貴公司在進行證券

交易及 貴公司獲發牌或獲註冊進行的任何其他受規管活動的過程中向本人/吾等提供財務通融，即可按照上述第(1)、第(2)、第(3)及/第(4)段所述運用或存放任何本人/吾等的證券抵押品。

本人/吾等確認本授權書不影響 貴公司為解除由本人/吾等或代本人/吾等對貴公司、貴公司之聯繫實體或第三者所負的法律責任，而處置或促使 貴公司的聯繫實體處置本人/吾等之證券或證券抵押品的權利。

此賦予 貴公司之授權乃鑑於 貴公司同意繼續維持本人/吾等之證券保證金賬戶。

本人/吾等明白本人/吾等的證券可能受制於第三者之權利， 貴公司須全數抵償該等權利後，方可將本人/吾等的證券退回本人/吾等。

本授權書有效期為十二個月，自本授權書之日起計有效。本人/吾等授權 貴公司可於該十二個月有效期內另訂屆滿日並需於該新訂屆滿日前 14 日之前向本人/吾等發出書面通知。本人/吾等可以向 貴公司客戶服務部位於上述所列明之地址發出書面通知，撤回本授權書。該等通知之生效日期為貴公司真正收到該等通知後之 14 日起計。

本人/吾等明白 貴公司若在本授權書的有效期屆滿前 14 日之前，向本人/吾等發出書面通知，提醒本人/吾等本授權書即將屆滿，而本人/吾等沒有在此授權屆滿前反對此授權續期，本 授權書應當作不需要本人/吾等的書面同意下按持續的基準已被續期。倘若本授權書的中文本與英文本在解釋或意義方面有任何歧異，本人/吾等同意應以英文本為準。本人/吾等就本授權書的內容及 貴公司的轉按政策已獲得解釋及知會，並且本人/吾等明白及同意本授權書的內容。

Signed by : .

客戶簽署 : .

Authorized Signature Print Name 授權簽署

Account Name 客戶名稱 : _____

ID/Passport 身份證/護照 : _____

Date 日期 : _____

Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding 就預扣及申報美國稅項的實益擁有人外國國籍證明

(A) General 一般事項

Please tick the following box if you are an U.S. citizen or U.S. resident alien 如閣下為美國公民或擁有美國居留權的外籍人士，則請剔選以下方格。

Yes, I am an U.S. citizen or U.S. resident alien. 是，本人為（或如吾等為聯名賬戶持有人，則吾等任何一位為）美國公民或擁有美國居留權的外籍人士。

If you have ticked the above box, please complete the Substitute Form W-9. 如閣下已剔選以上方格，請填妥替代表格W-9。

If you have not ticked the above box, please read the below. 如閣下並無剔選以上方格，則請詳閱下文。

(A) Certification 證明

I (whose name is stated in (Individual/ Primary Joint Account Applicant's Personal Information) of this Account Opening Form) declare that I have examined the information on this Account Opening Form and to the best of my/our knowledge and belief it is true, correct and complete. 本人／吾等（姓名乃載於本開戶表格的（個/聯名戶口主要申請人之個人資料））宣稱本人／吾等已查證於本開戶表格的資料，並就本人／吾等所知及所信為真實、準確及完備。

I further certify that: 本人／吾等進一步證明：

(i) I am the individual that is the beneficial owner (or am authorized to sign for the individual(s) that is/are the beneficial owner(s) of all the income to which this Account Opening Form relates or am using this Accounting Opening Form to document myself as an individual that is an owner or account holder of a foreign financial institution. 本人／吾等是身為實益擁有人的個人（或獲授權代表該個人（身為與本開戶表格相關所有收入有關的實益擁有人）

簽署或採用本開戶表格，以證明本人／吾等是身為外國金融機構的擁有人或賬戶持有人的個人）。

(ii) The person named in (Individual/ Primary Joint Account Applicant's Personal Information) of this Account Opening Form is not a U.S. person. 名列本開戶表格的（個/聯名戶口主要申請人之個人資料）的人士是／並非美國人士。

Furthermore, I authorize this Account Opening Form to be provided to the Company that has control, receipt or custody of the income of which I am the beneficial owner or any withholding agent that can disburse or make payments of the income of which I am beneficial owner. **I agree that I will submit a new form within 30 days if there is any change or amendment to the information provided on this Account Opening Form.** 此外，本人／吾等授權本開戶表格將提供予有權控制、收取或託管以本人／吾等為實益擁有人的收入的本公司或可分發或支付以本人／吾等為實益擁有人的收入的任何預扣代理人。本人／吾等同意，如於本開戶表格提供的資料出現任何更改或修訂，則本人／吾等將於30日內提交新表格。

Client Authorized Signature(s) 客戶授權簽署：

** Client Name(s) 客戶名稱**：_____

** All account holders of joint account must sign jointly 所有聯名客戶必須授權簽署**

AML Supplemental Documentation Checklist 反洗錢規則補充檔清單

Investors are required to provide certain supplemental documentation in connection with this Client Information Form under the applicable class, as follows.
投資者請于遞交其客戶資訊表時同時提供下述相關補充檔。

The following information is required to be submitted with the Client Information Form. Hong Kong Securities (International) Company Limited or the fund administrator may request further information or documents if deemed necessary.

Hong Kong Securities (International) Company 或基金託管人有權要求閣下提供進一步資料或檔。

Investors are required to provide an original or original certified true copy of all documents outlined under the applicable category:

投資者必須提供以下適用類別要求的所有原件或經驗證副本原件：

Category 類別	Requirements 要求
Corporations 公司	<p>Corporation is listed or regulated in an approved country 於核准國家上市或受核准國家監管的公司</p> <ol style="list-style-type: none"> Certificate of incorporation or equivalent (and certificate on change of name if applicable) 註冊證書 Evidence of listing or regulated in an approved country (e.g. extract from Bloomberg / Reuters / stock exchange / regulator website) 於核准國家上市或受核准國家監管的證明文件 List of directors 董事名單 Signed board resolution authorizing the investment and conferring authority on those giving instructions 已批准投資本投資產品及已批准授權發出指示的人員名單的董事會決議 Authorized signature list with specimen signatures 授權簽署人名單及簽署式樣 Valid passport with photograph, name, date of birth and nationality**** (and name change document if applicable) of all authorised signers 所有授權簽署人的有效護照內含相片、姓名、出生日期及國籍**** OR 或 Written representation from an independent department within the company (e.g. compliance, audit, human resources) confirming the authorised signers have the authority to act and their identities are verified. 由公司內部獨立部門(如合規、審計、人力資源)所發出的確認其授權簽署人權力及身分的書面確認書。 <p>Additional requirements: 附加檔： If the company invests for its own account: 如為公司本身投資：</p> <ul style="list-style-type: none"> Confirmation that the investment is made for the company's own account and not on behalf of any other party (a declaration on the subscription form or a signed letter will suffice) 確認為公司本身投資，于申購表格中或書面聲明即可。 Confirmation on the source of funds for investment (a declaration on the subscription form or a signed letter will suffice) 確認資金來源資訊，于申購表格中或書面聲明即可。 <p>If the company invests in the capacity of a nominee: 如公司以代理人身分投資：</p> <ul style="list-style-type: none"> Provide additional documents as outlined under the "nominee" section 請按下述「代理人」類別要求提供相關檔 <p>If the company is an investment vehicle: 如公司是一個投資工具</p> <ul style="list-style-type: none"> Provide additional documents as outlined under the "investment vehicle" section 請按下述「投資工具」類別要求提供相關檔
	<p>Corporation is not listed or regulated in an approved country 未有於核准國家上市或受核准國家監管的公司</p> <ol style="list-style-type: none"> Certificate of incorporation or equivalent (and certificate on change of name if applicable) 註冊證書 Memorandum & articles of association

公司組織大綱及章程

3. Company search report issued within the last sixmonths

最近6 個月的公司查冊報告

- For companies incorporated in Hong Kong, provide full company search report issued by Hong Kong Company Registry
如為香港註冊公司，請提供香港公司註冊處發出的完整公司查冊報告
- For companies incorporated outside of Hong Kong, provide company search report issued by the company registry in the place of incorporation or certificate of incumbency issued by lawyer/accountant/the registered agent of the company in the place of incorporation. In any case, the document must include the following details:

如於香港以外地區註冊的公司，請提供當地註冊處發出的公司查冊報告或由律師 / 會計師 / 當地註冊代理發出的董事在職證明書，內含以下資料：

1. Names of the directors

董事姓名

2. Name of shareholders with percentage ownership

股東名稱及所有權百分比

3. Registered office address in the place of incorporation

當地註冊辦事處地址

4. The company is still registered and has not been dissolved, wound up or struck off

仍為有效註冊公司

4. Valid passport with photograph, name, date of birth and nationality (and name change document if applicable) of the following individuals

以下人仕有效護照內含相片、姓名、出生日期及國籍

- At least 2 directors (including the managing/ executive director)

最少2 名董事需包含管理/行政董事

- All authorized signers

所有授權簽署人

5. Residential and permanent (if different) address proof e.g. copy of utility bill or bank statement issued within the last three months and displays name as per registration of the following individuals. E-statements and P.O. Box mailing addresses are not acceptable.

以下人仕的最近3 個月的住址證明如公用事業帳單或銀行結單並需顯示其註冊姓名。電子結單或郵箱位址均不接受。

- At least 2 directors (including the managing/ executive director)

最少2 名董事需包含管理/行政董事

- All authorized signers

所有授權簽署人

6. Signed board resolution authorizing the investment and conferring authority on those giving instructions

已批准投資本投資產品及已批准授權發出指示的人員名單的董事會決議

7. Authorized signature list with specimen signatures

授權簽署人名單及簽署式樣

Additional requirements:

附加檔：

If the company invests for its own account:

如為公司本身投資：

- Confirmation that the investment is made for the company's own account and not on behalf of any other party (a declaration on the subscription form or a signed letter will suffice)

確認為公司本身投資，于申購表格中或書面聲明即可。

- Confirmation on the source of funds for investment (a declaration on the subscription form or a signed letter will suffice)

確認資金來源資訊，于申購表格中或書面聲明即可。

- Organization chart certified by a lawyer/ accountant/ company secretary to be correct and accurate. Where a company has ownership structure which is made up of several layers, the organization chart should include the following details of each intermediate company:

經律師 / 會計師 / 公司秘書認證的組織架構圖。如公司為多層架構，在組織架構圖內的每一件介公司需含以下細節：

- Name of companies / individuals

公司名稱 / 個人姓名

- Ownership percentage

持股比例

- Place of incorporation

註冊地址

	<ul style="list-style-type: none"> ➢ Country of business address 營業地址 • Valid passport with photograph, name, date of birth and nationality (and name change document if applicable) of the following individuals 以下人仕有效護照內含相片、姓名、出生日期及國籍 <ul style="list-style-type: none"> ➢ Each beneficial owner owning or controlling 10% or more of the company 擁有公司10%以上的權益擁有人 • Residential and permanent (if different) address proof e.g. copy of utility bill or bank statement issued within the last three months and displays name as per registration of the following individuals. E-statements and P.O. Box mailing addresses are not acceptable. 以下人仕的最近3個月的住址證明如公用事業帳單或銀行結單並需顯示其註冊姓名。電子結單或郵箱位址均不接受。 <ul style="list-style-type: none"> ➢ Each beneficial owner owning or controlling 10% or more of the company 擁有公司10%以上的權益擁有人 <p>If the company invests in the capacity of a nominee: 如公司以代理人身分投資：</p> <ul style="list-style-type: none"> • Provide additional documents as outlined under the "nominee" section 請按下述「代理人」類別要求提供相關檔 <p>If the company is an investment vehicle: 如公司是一個投資工具</p> <ul style="list-style-type: none"> • Provide additional documents as outlined under the "investment vehicle" section 請按下述「投資工具」類別要求提供相關檔
<p>Partnerships 合夥公司</p>	<ol style="list-style-type: none"> 1. Certificate of partnership/ business registration (and name change document if applicable) 合夥公司證書 / 商業註冊證書 2. Executed partnership agreement 已生效的合夥公司協議 3. Written representation on the following information: 書面陳述書內含以下資訊： <ul style="list-style-type: none"> • Full name of all partners 所有合夥人姓名 • Full name of all partners who are empowered to give instructions (or the GP in the context of a limited partnership) 所有已授權發出指示的合夥人姓名 • Number of individuals owning or controlling 10% or more of the partnership's capital or profit or voting rights. 提供所有擁有或控制 10%以上合夥資本、利潤或投票權的個人人數 • Full name of individuals owning or controlling 10% or more of the partnership's capital or profits or voting rights 提供所有擁有或控制 10%以上合夥資本、利潤或投票權的個人姓名 4. Identification evidence of the following parties in line with the requirements of the applicable category: 以下人仕的身分識別檔 <ul style="list-style-type: none"> • All partners who are empowered to give instructions (or the GP in the context of a limited partnership) 所有已授權發出指示的合夥人 • All authorized signers 所有授權簽署人 5. Confirmation on the source of funds for investment (a declaration on the subscription form or a signed letter will suffice) 確認資金來源資訊，于申購表格中或書面聲明即可。 6. Mandate/ deed/ resolution from the partnership authorizing the transactions and conferring authority on those who will undertake transactions 已批准授權發出指示及授予許可權的人員名單的命令狀 / 契約書 / 決議書 7. Authorized signature list with specimen signatures 授權簽署人名單及簽署式樣 <p>Additional requirements: 附加檔：</p> <p>If the partnership is an investment vehicle: 如合夥公司是一個投資工具</p> <ul style="list-style-type: none"> • Extract from commercial register 商業登記冊摘錄

	<ul style="list-style-type: none"> Provide additional documents as outlined under the "investment vehicle" section 請按下述「投資工具」類別要求提供相關檔 <p>If the partnership is not an investment vehicle: 如合夥公司並非一個投資工具</p> <ul style="list-style-type: none"> Valid passport with photograph, name, date of birth and nationality (and name change document if applicable) of the following individuals 以下人仕有效護照內含相片、姓名、出生日期及國籍 <ul style="list-style-type: none"> Each beneficial owner owning or controlling 10% or more of the partnership's capital or profits or voting rights 擁有或控制 10%以上合夥資本、利潤或投票權的權益擁有人 Residential and permanent (if different) address proof e.g. copy of utility bill or bank statement issued within the last three months and displays name as per registration of the following individuals. E-statements and P.O. Box mailing addresses are not acceptable. 以下人仕的最近 3 個月的住址證明如公用事業帳單或銀行結單並需顯示其註冊姓名。電子結單或郵箱位址均不接受。 <ul style="list-style-type: none"> Each beneficial owner owning or controlling 10% or more of the partnership's capital or profits or voting rights 擁有或控制 10%以上合夥資本、利潤或投票權的權益擁有人 <p>Note: Where the partners are entities, e.g. the partner is a limited liability company, please provide the identification documents as required under the "corporations" section. For entities that are made up of several layers, please follow the chain of ownership and provide identification documents of the individuals who are the ultimate beneficial owners in line with the requirements under the "Individuals" section. In the context of a limited liability company, documents required of the directors refer to that of the managing members.</p> <p>附注：如合夥人為公司，請按「公司」類別內身分識別要求提供相關檔。如合夥人為多層架構，請按擁有權提供身分識別要求的相關檔。擁有權以最終權益擁有人為止並按「個人」類別內身分識別要求提供相關檔。如合夥公司為有限責任公司，董事所需文件指管理成員所需文件。</p>
<p>Trusts 信託公司</p>	<p>Trustee is a regulated financial institution in an approved country 受核准國家監管的受託人</p> <ol style="list-style-type: none"> Trust deed 信託契約 Certificate of incorporation or equivalent of the trustee (and certificate on change of name if applicable) 註冊證書 List of directors of the trustee 受託人董事名單 Extract of authorization from the relevant regulator confirming that the trustee is regulated in an approved country 受核准國家監管的證明文件 Written confirmation that the trustee has undertaken identity and anti-money laundering checks on settlers and main beneficiaries to FATF standards (Please request a standard letter template from the Administrator's Delegate for this purpose) 由受託人發出的書面承諾書確認已按「打擊清洗黑錢財務行動特別組織」標準向所有委託人及主要權益擁有人進行相關身分及反洗錢檢查認證。請向基金託管委託代表查詢書面承諾書範本。 Confirmation on the source of funds for investment (a declaration on the subscription form or a signed letter will suffice) 確認資金來源資訊，于申購表格中或書面聲明即可。 Signed trustee resolution/ confirmation authorising the investment and conferring authority on those giving instructions 已批准投資本投資產品及已批准授權發出指示的人員名單的信託人決議書 / 確認書 Authorized signature list with specimen signatures 授權簽署人名單及簽署式樣 Valid passport with photograph, name, date of birth and nationality (and name change document if applicable) of all authorised signers 所有授權簽署人的有效護照內含相片、姓名、出生日期及國籍 OR 或 Written representation confirming the identities of the authorized signers have been verified (to be issued by a department or person within the company which is independent to the authorized signers, e.g. compliance, audit, human resources) 由公司內部獨立部門(如合規、審計、人力資源)所發出的確認其授權簽署人權力及身分的書面確認書。 <p>Additional requirements: 附加檔： If the trust is an investment vehicle: 如信託公司是一個投資工具：</p>

	<ul style="list-style-type: none"> • Extract from commercial register 商業登記冊摘錄 • Provide additional documents as outlined under the "investment vehicle" section 請按下述「投資工具」類別要求提供相關檔
<p>Investment Vehicles 投資工具</p>	<p>Category A A類 Entity appointed to carry out due diligence on underlying investors is a regulated financial institution in an approved country 受核准國家*監管向其相關投資者進行盡職調查的金融機構</p> <ol style="list-style-type: none"> 1. Provide documents of the applicable category based on the legal structure of the investment vehicle, i.e. corporations, partnerships or trusts 提供相關法律檔 2. Prospectus (offering document) or equivalent 招募說明書 3. Written confirmation that underlying investors have been identified and anti-money laundering checks on the underlying investors in the investment vehicle have been carried out to FATF** standards (Please request a standard letter template from the Administrator's Delegate for this purpose) 書面承諾書確認已按「打擊清洗黑錢財務行動特別組織」標準向其相關投資者進行身分及反洗錢檢查認證。請向基金託管委託代表查詢書面承諾書範本。 <p>Category B B類 Investment vehicle has 4 or more investors, and Entity appointed to carry out due diligence on underlying investors is not a regulated financial institution in an approved country 擁有 4 個或以上投資者的投資工具及未有受核准國家監管向其相關投資者進行盡職調查的金融機構</p> <ol style="list-style-type: none"> 1. Provide documents of the applicable category based on the legal structure of the investment vehicle, i.e. corporations, partnerships or trusts 提供相關法律檔 2. Prospectus (offering document) or equivalent 招募說明書 3. Written representation on the following information: 書面確認書內含以下資訊： <ul style="list-style-type: none"> • Total number of investors 投資者數量 • Number of investors holding 10% or more of the investment vehicle 持有 10%以上持股量的投資者數量 • Full name of investors holding 10% or more of the investment vehicle 持有 10%以上持股量的投資者名單 • Full name of beneficial owners owning or controlling 25% or more of the investment vehicle 持有 25%以上持股量或控制權的權益擁有人名單 4. Valid passport with photograph, name, date of birth and nationality (and name change document if applicable) of the following individuals: 以下人仕有效護照內含相片、姓名、出生日期及國籍： <ul style="list-style-type: none"> • Each beneficial owner owning or controlling 25% or more of the investment vehicle 持有 25%以上持股量或控制權的權益擁有人 5. Residential and permanent (if different) address proof e.g. copy of utility bill or bank statement issued within the last three months and displays name as per registration of the following individuals. E-statements and P.O. Box mailing addresses are not acceptable. 以下人仕的最近 3 個月的住址證明如公用事業帳單或銀行結單並需顯示其註冊姓名。電子結單或郵箱位址均不接受。 <ul style="list-style-type: none"> • Each beneficial owner owning or controlling 25% or more of the investment vehicle 持有 25%以上持股量或控制權的權益擁有人 <p>Note: For institutional investors, please follow the chain of ownership and provide details and documentation of the individuals who are the ultimate beneficial owners. 附注：如為機構投資者，請按擁有權提供身分識別要求的相關檔。擁有權以最終權益擁有人為止。</p>

	<p>Category C C 類</p> <p>Investment vehicle has less than 4 investors, and Entity appointed to carry out due diligence on underlying investors is not a regulated financial institution in an approved country</p> <p>擁有少於 4 個投資者的投資工具及未有受核准國家監管向其相關投資者進行盡職調查的金融機構</p> <ol style="list-style-type: none"> 1. Provide documents of the applicable category based on the legal structure of the investment vehicle, i.e. corporations, partnerships or trusts. 提供相關法律檔 2. Prospectus (offering document) or equivalent 招募說明書 3. Written representation on the following information: 書面確認書內含以下資訊： <ul style="list-style-type: none"> • Total number of investors 投資者數量 • Number of investors holding 10% or more of the investment vehicle. For investors with 10% or more ownership of the investment vehicle, also include 持有 10% 以上持股量的投資者數量及提供其下列資訊： <ul style="list-style-type: none"> ➢ Full name 姓名 ➢ Date of birth 出生日期 ➢ Nationality 國籍 ➢ Identity document type and number 身分證檔案類型及號碼 • Full name of beneficial owners owning or controlling 25% or more of the investment vehicle 持有 25% 以上持股量或控制權的權益擁有人名單 4. Valid passport with photograph, name, date of birth and nationality (and name change document if applicable) of the following individuals: 以下人仕有效護照內含相片、姓名、出生日期及國籍 <ul style="list-style-type: none"> • Each beneficial owner owning or controlling 25% or more of the investment vehicle 持有 25% 以上持股量或控制權的權益擁有人 5. Residential and permanent (if different) address proof e.g. copy of utility bill or bank statement issued within the last three months and displays name as per registration of the following individuals. E-statements and P.O. Box mailing addresses are not acceptable. 以下人仕的最近 3 個月的住址證明如公用事業帳單或銀行結單並需顯示其註冊姓名。電子結單或郵箱位址均不接受。 <ul style="list-style-type: none"> • Each beneficial owner owning or controlling 25% or more of the investment vehicle 持有 25% 以上持股量或控制權的權益擁有人 <p>Note: For institutional investors, please follow the chain of ownership and provide details and documentation of the individuals who are the ultimate beneficial owners.</p> <p>附注：如為機構投資者，請按擁有權提供身分識別要求的相關檔。擁有權以最終權益擁有人為止。</p>
<p>Nominees (Including Private Bank, Investment Adviser Or Nominee Company) 代理人(包括私人銀行、投資顧問或代理人公司)</p>	<p>Category A A 類</p> <p>Nominee is a regulated financial institution in an approved country, or Nominee acts as agent and nominee of a regulated financial institution in an approved country for the purpose of registering securities beneficially owned by the customers of this regulated financial institution</p> <p>代理人為受核准國家*監管的金融機構，或代理人以其受核准國家監管的金融機構的代理身分為其客戶作證券證記的公司</p> <ol style="list-style-type: none"> 1. Provide documents of the applicable category based on the legal structure of the nominee, i.e. corporations 提供相關法律檔 2. Written confirmation that the nominee has undertaken identity and anti-money laundering checks on the underlying investors to FATF standards (Please request a standard letter template from the Administrator's Delegate for this purpose) 由代理人發出書面承諾書確認已按「打擊清洗黑錢財務行動特別組織」標準向其相關投資者進行身分及反洗錢檢查認證。請向基金託管委託代表查詢書面承諾書範本。

	<p>3. Confirmation on the source of funds for investment (a declaration on the subscription form or a signed letter will suffice)</p> <p>確認資金來源資訊，于申購表格中或書面聲明即可。</p>
	<p>Category B B 類 Nominees not in Category A 不在上列 A 類的代理人</p>
	<p>1. Provide documents of the applicable category based on the legal structure of the nominee, i.e. corporations 提供相關法律檔</p> <p>2. List of all named underlying investors 其相關投資者的名單</p> <p>3. Identification documentation for all named underlying investors in line with the requirements of the applicable investor category 所有相關投資者的身分識別檔</p> <p>4. Confirmation on the source of funds for investment (a declaration on the subscription form or a signed letter will suffice) 確認資金來源資訊，于申購表格中或書面聲明即可。</p>

Hong Kong Securities (International) Company Limited, the Fund(s) or the fund administrator (including its delegate or agent) may require other documentation in addition to the items in the above checklist.

除上述清單外，本公司、其投資經理或其基金管理人或其代表可能要求閣下提供進一步資料或檔。

In accordance with the anti-money laundering (AML) obligations applicable to the Company, requests for transfer or payment of redemption proceeds will not be effective until receipt of all outstanding identification documents and information pertaining to AML obligations. None of the Company, the Investment Manager, the Administrator or their agents or affiliates accepts any responsibility for any loss caused as a result of any such delay or refusal to process transfer requests or effect payment of redemption proceeds (as the case may be) and claims for payment of interest due to such delays will not be accepted.

按反洗錢規定，本公司必需于集齊所有相關規定的身分證明文件方可為閣下處理劃款及贖回程式。閣下需自行承擔任何因未能提供上述相關檔而導致的一切損失。

* Approved country refers to the Cayman Islands, Bermuda, British Virgin Islands, Malaysia and members of FATF** (subject to change from time to time)
核准國家包括開曼群島、百慕大、英屬維爾京群島、馬來西亞等「打擊清洗黑錢財務行動特別組織」**成員國家

** FATF – Financial Action Task Force (www.fatf-gafi.org)
「打擊清洗黑錢財務行動特別組織」

*** Certified true copy is accepted from an independent suitable certifier, such as lawyer, accountant, notary public, member of the judiciary or director or manager of a regulated credit or financial institution in a jurisdiction that is a FATF** member. The certifier should sign and date the copy document (printing his/her name clearly in capitals underneath) and clearly indicate his/her position or capacity, together with a contact address and phone number. The certifier must indicate that the document is a true copy of the original and that the photo is a true likeness of the individual. Where documents are not in English, a notarized translation is required.

經驗證副本只接受由獨立律師、獨立會計師、獨立公證人或受「打擊清洗黑錢財務行動特別組織」成員國家監管的金融機構的董事或經理所驗證的副本。驗證檔需由驗證人簽署並填上日期、其職位、聯絡位址及電話。而驗證人並需於確認文件內列明該文件與原件核對無誤。如檔為非英文版本，需附已公證英文翻譯版本。

**** Acceptable photo identification must contain an individual's name, date of birth and nationality. If an investor submits a photo identification that does not contain all of his/her name, date of birth and nationality e.g. driver's license, the investor is required to provide additional government-issued identification documents, e.g. certified true copy of birth certificate, citizenship card, etc. For Hong Kong Permanent Residents, Hong Kong Identity Card will be accepted.

身分證明文件需附有相片、姓名、出生日期及國籍。如果投資者提交的身分證明文件不包含他/她的所有姓名，出生日期和國籍，例如駕駛執照。投資者必須提供其他政府頒發的身分證明文件，例如：出生證明，身分證等認證過的副本。對於香港永久性居民，我們將接受香港身份證。

By signing below,
當閣下簽署以下時,

I / we hereby confirm that I / we read and accept the AML Supplemental Documentation Checklist as indicated above.
我 / 我們謹此確認我 / 我們已閱讀及接受以上反洗錢規則補充檔清單。

For Corporate or Institutional Investors
公司或機構投資者

Authorized Signature(s) with Company chop (if any)
授權人簽署及公司印章(如適用)

Printed name:
請以英文正楷填寫姓名:

Date 日期: _____

For Office Use (TO BE COMPLETED BY AE)			
Applicant's Background:			
Applicant's relationship with AE:			
AML Risk Level: <input type="checkbox"/> Low <input type="checkbox"/> Normal <input type="checkbox"/> High			
Brokerage (%):	Min Charge (HK\$):	AE Commission (%):	Min Charge (HK\$):
AE name:		C.E. No.:	
Account opening approved by:		Account opening checked/ endorsed by:	
Name (Please print):		Name (Please print):	
Date:		Date:	
Documentation checked by:			
Remarks:			
BOS	System	Inputted	By: Date:
BOS	System	Approved	By: Date:

Risk Disclosure Statement – Exchange Traded Derivative Products 風險披露聲明 – 在交易所買賣衍生產品

Below risk disclosure statement cannot disclose all the risks involved. Investors should undertake your own research and study before trading or investing in the relevant product. Investors should carefully consider whether trading or investment is suitable in light of their own financial position and investment objectives. 以下風險披露聲明不能披露所有涉及的風險。在進行交易或投資前，閣下應就該投資進行本身的資料搜集及研究。閣下按本身的財政狀況及投資目標謹慎考慮是否適宜進行交易或投資。

Exchange traded derivative products are derivative products that are listed or traded on an Exchange, including, but not limited to, futures contracts, options contracts, warrants, callable bull/bear contracts ("CBBCs") (collectively named as "Exchange Derivatives Products"). 在交易所買賣衍生產品是指在交易所上市或買賣的衍生產品，包括但不限於期貨合約，期權合約，認股權證，可贖回牛/熊合約（下稱“交易所衍生產品”）。

(a) It is not possible to predict the liquidity of Exchange Derivative Products. The fact that the Exchange Derivative Products may be so listed does not necessarily lead to greater liquidity than if they were not so listed; 交易所衍生產品之流動性不可預測。交易所衍生產品上市並不必然導致比未上市的衍生產品有更大流動性；

(b) For Transactions in relation to Investments involving contracts or instruments which are traded on an Exchange, the risk of loss may increase if certain events (such as disruption of the normal market operations or conditions of the Exchange or Clearing House, suspension or restriction of trading certain contracts or instruments and/or other events which affect the closing out of such Transactions or the liquidating of the relevant positions) occur; 對於涉及在交易所交易的合約或工具之投資交易，當某些情況（如交易所或結算所正常的市場運作或條件中斷，某些合約或工具交易的暫停或限制，以及/或者影響上述交易拋售或相關資產流動性的其他事件）發生，虧損的風險可能會增加；

Under certain circumstances, the specifications of an Exchange-traded contract or instrument may be modified by the relevant Exchange or Clearing House and such modification may have an adverse effect on your Investments; 在某些情況下，交易所買賣合約或工具的規範可能由有關交易所或結算所進行修訂，而且此修訂可能會對閣下的投資造成不利影響；

In the event that an issuer becomes insolvent and defaults on their listed Securities, you will be considered as unsecured creditors and will have no preferential claims to any assets held by the issuer. You should therefore pay close attention to the financial strength and credit worthiness of the issuers; 倘若發行人破產並對上市證券違約，閣下將被視為無擔保債權人，並對發行人持有的任何資產沒有優先追索權。因此您應當密切關注發行人之經濟實力和信用；

(c) Uncollateralized Exchange Derivative Products are not asset backed. In the event of issuer bankruptcy, you can lose your entire investment. You should read the listing documents to determine if a product is uncollateralized; 無擔保交易所衍生產品是名義資產擔保的。若發行人破產，閣下會喪失所有投資。您應當閱讀上市檔以確定產品是否有擔保；

(d) Exchange Derivative Products often involve a high degree of gearing, so that a relatively small movement in the price of the underlying Securities results in a disproportionately large movement in the price of the Exchange Derivative Products. The values of Exchange Derivative Products are not fixed, but fluctuate with the market, which may be influenced by many factors, including changes in the economic and/or political environment. The prices of Exchange Derivative Products can therefore be volatile and may fall to zero resulting in a total loss of the initial investment. Further, the price of an Exchange Derivative Product may not match its theoretical price due to outside influences such as market supply and demand factors. As a result, actual traded prices can be higher or lower than the theoretical price; 交易所衍生產品通常涉及到很高的槓桿率，因此基礎證券的價格出現相對輕微的波動會導致交易所衍生產品價格出現不成比例之大幅波動。交易所衍生產品的價值不是固定的，而是會隨著市場波動，會受到許多因素的影響，包括經濟和/或政治環境的變化。因此交易所衍生產品的價格波動，並且可能跌至零，導致初始投資的完全損失。此外，交易所衍生產品的價格可能因市場供求因素等外部影響而與其理論價格不匹配。因此，實際交易價格可能高於或低於理論價格。

Exchange Derivative Products have an expiry date after which they may become worthless. You must be aware of the expiry time horizon and choose a product with an appropriate lifespan for their trading strategy. In particular, the value of a derivative warrant will decay over time as it approaches its expiry date, therefore, derivative warrants should not be viewed as long term investments; 交易所衍生產品有到期日，在該日期後它們可能會變得毫無價值。閣下必須瞭解產品的有效時間範圍，並為交易策略選擇一種有效期合適的產品。特別是，衍生權證的價值會隨著逐漸趨近其到期日期而貶值，因此，衍生權證不應被看作是長期投資；

Investors should be aware of the underlying asset volatility. Investors trading Exchange Derivative Products with underlying assets not denominated in Hong Kong dollars are also exposed to exchange rate risk. Currency rate fluctuations can adversely affect the underlying asset value, also affecting the Exchange Derivative Products price; 投資者應當清楚基礎資產波動性買賣基礎資產為非港幣計價的交易所衍生產品的投資者還將負擔匯率風險。匯率波動對基礎資產的價值會產生不利影響，也會影響到交易所衍生產品的價格；

The Exchange requires all structured product issuers to appoint a liquidity provider for each individual issue. The role of liquidity providers is to provide two way quotes to facilitate trading of their products. In the event that a liquidity provider defaults or ceases to fulfill its role, you may not be able to buy or sell the product until a new liquidity provider has been assigned; 交易所要求所有結構性產品發行人為每一次發行指定流動性提供商。流動性提供商的責任是提高雙向報價以促進產品交易。如果一家流動性提供商未能或停止履行其責任，那麼只有在指定新的流動性提供商後，您才能購買或銷售該產品。

Some Exchange Derivative Products have an intraday "knockout" or mandatory call feature. Such Exchange Derivative Products will cease trading when the underlying asset value equals the mandatory call price/level as stated in the listing documents. You will only be entitled to the residual value of the terminated Exchange Derivative Product as calculated by the product issuer in accordance with the listing documents. You should also note that the residual value can be zero. Further, with Exchange Derivative Products, the issue price of an Exchange Derivative Product includes funding costs. Funding costs are gradually reduced over time as the Exchange Derivative Products moves towards expiry. The longer the duration of the Exchange Derivative Products, the higher the total funding costs. In the event that

such Exchange Derivative Product is called, you will lose the funding costs for the entire lifespan of such Exchange Derivative Product. You should refer to the formula for calculating the funding costs that are stated in the listing documents. 一些交易所衍生產品具有即日取消或強制贖回特點。當基礎資產價值等於強制贖回價或達到上市檔中規定的水準，此等交易所衍生產品將停止交易。閣下僅僅有權享有終止交易之衍生產品剩餘價值，此價值由產品發行人按照上市檔規定計算。閣下也應當知道剩餘價值可能為零。此外，交易所衍生產品的發行價格還包括其資金成本。資金成本會因交易所衍生產品趨於到期而逐漸降低。交易所衍生產品的持續時間越長，其總資金成本越高。當此等交易所衍生產品被贖回時，您將損失此等交易所衍生產品整個有效期內的資金成本。閣下應當參考上市檔中列出的計算資金成本的公式。