

現金證券戶口號碼	
保證金證券戶口號碼	
期貨戶口號碼	

## Account Application Form - Corporate Account 開戶申請表 - 公司帳戶

I/We ("the Client") would like to apply to Zhong Yang Securities Limited ("ZYSL" or "the Broker") for the following Trading Account(s) and agree that the account(s) shall be subject to the following applicable provisions and ZYSL's General Terms and Conditions of Agreement ("the Agreement"):

本人/我們 ("客戶")欲向中陽證券有限公司 ("中陽證券"或"經紀")申請開立以下之交易戶口, 並同意該戶口接受以下適用規條及中陽證券的一般協議條款及條件("該協議書") 的約束 :

Account Type(s) 帳戶類別		Services Selected 選擇服務	
<input type="checkbox"/> Cash A/C - Hong Kong Securities 現金帳戶 - 香港證券帳戶 <input type="checkbox"/> Margin A/C - Hong Kong & Global Securities 保證金帳戶 - 香港及環球證券帳戶 <input type="checkbox"/> Hong Kong & Global Futures Trading Account 香港及環球期貨交易賬戶		<input type="checkbox"/> Electronic Trading Services 電子交易服務  <input type="checkbox"/> Others 其他 _____	
Omnibus Account 綜合帳戶	<input type="checkbox"/> Yes 是	<input type="checkbox"/> No 不是	

### 1. Corporate Information 公司資料

Company Name 公司名稱	English 英文		
	Chinese 中文		
Place of Incorporation 註冊成立地點		Date of Incorporation 註冊日期	
Scope of Business 業務範圍			
Registered Address 註冊地址			
Principal Business Address 主要業務地址			
HK Business Registered No. 香港商業登記號碼		Certificate of Incorporation No. 公司註冊號碼	
Office Tel No. 公司電話		Fax No. 傳真號碼	
E-mail 電郵地址			

The following bank account is hereby designated by the Client as the Settlement Account for settlement purpose. The Client hereby instructs and authorizes Zhong Yang Securities Limited ("ZYSL") to deposit any and all moneys and funds payable to the Client into the following bank account ZYSL 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 and futures laws and regulations but ZYSL 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.

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中陽證券有限公司（“中陽證券”）將所有及任何應予客戶之款項及金錢存入以下銀行帳戶。中陽證券將在相關證券及期貨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），但中陽證券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。

Bank Account  
銀行戶口

Bank Name 銀行名稱	A/C No. 銀行號碼	HKD 港元
		USD 美元
		CNY 人民幣

Particular of Directors of the Company 公司董事資料

Name(s) of Director(s) 董事姓名	ID Card/ Passport No. and Issuing Country 身份證/護照號碼及發出國家	Contact No. 聯絡電話	Address 地址

Authorised Person(s) Information 授權操作帳戶人資料

Authorized Person's Name 授權代理人姓名	ID Card/ Passport No. and Issuing Country 身份證/護照號碼及發出國家	Contact No. 聯絡電話	Address 地址	Specimen Signature 簽名樣式

Signing Instruction 簽署指示:  Anyone can sign singly 單簽  Any two must sign jointly 任何兩人同簽  others 其他: \_\_\_\_\_

Send Statement to (select one) 結單郵寄至 (只選一項)	<input type="checkbox"/> E-mail 電子郵件 I/ We hereby give(s) my/ our instruction that you shall email my/ our contract notes, statement of account and receipts to my e-mail account as stated below. Henceforth, I/ We do not require you to deliver the above mentioned hard copy statement by mail. I/ We shall undertake to notify you of any changes in my/ our email address promptly to ensure that you can deliver all statements to me/us timely for my/our review. 我/我們現給予指示, 要求 貴公司將我/我們帳戶的成交單據, 戶口結單及收據以電郵傳送給我/我們下列的電郵地址。此後, 無需再以郵寄方式傳達予我/我們。我/我們並會即時通知貴公司該電郵地址的變更以確保你能及時把結單傳達予我/我們查閱		
	<input type="checkbox"/> Post to Principal Business Address 郵遞至 <b>主要營業地址</b>	Statement Language 結單語言	<input type="checkbox"/> Eng <input type="checkbox"/> 中文

## 2. Financial Profile 財務狀況

Authorised Capital 法定股本		Paid Up Capital 繳足股本	
Net Asset Value 淨資產值	latest audited accounts as at ____ / ____ 最近的審計賬目年度 <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\$10,000,000	Profit after Tax 除稅後盈利	latest audited accounts as at ____ / ____ 最近的審計賬目年度 <input type="checkbox"/> <HK\$500,000 <input type="checkbox"/> HK\$500,001 - HK\$1,000,000 <input type="checkbox"/> >HK\$1,000,000 <input type="checkbox"/> Loss with amount at HK\$ _____ 虧損, 數額為港幣

## 3. Investment Experiences and Objectives 投資經驗及目的

Futures & Options 期貨及期權	<input type="checkbox"/> Nil 無 <input type="checkbox"/> < 1 year 年 <input type="checkbox"/> 1-5 year 年 <input type="checkbox"/> 6-10 years 年 <input type="checkbox"/> over 10 years 多於十年
Securities 股票	<input type="checkbox"/> Nil 無 <input type="checkbox"/> < 1 year 年 <input type="checkbox"/> 1-5 year 年 <input type="checkbox"/> 6-10 years 年 <input type="checkbox"/> over 10 years 多於十年
Forex & Bullion 外匯及黃金	<input type="checkbox"/> Nil 無 <input type="checkbox"/> < 1 year 年 <input type="checkbox"/> 1-5 year 年 <input type="checkbox"/> 6-10 years 年 <input type="checkbox"/> over 10 years 多於十年
Investment Objectives & Strategies 投資策略 (Can choose more than one 可選多於一項)	<input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Speculation 投機 <input type="checkbox"/> Investment 投資 <input type="checkbox"/> others 其他 _____

## 4. Beneficial Owner of Company 公司的實益擁有人

Particular of shareholders (Not applicable to Public Listed Companies) 股東資料 (不適用於上市公司)

Name 姓名	HKID / Passport No. 身份證號碼/護照號碼	Contact No. 聯絡電話	Address 地址	% of shareholding 持股比例

\*\*"Beneficial Owner" means an individual:

- (a) who owns or controls, directly or indirectly (including through a trust or bearer share holding), more than 25% of the issued share capital of the Client;
- (b) who is, directly or indirectly, entitled to exercise or control the exercise of more than 25% of the voting rights at general meetings of the Client;
- (c) who exercises ultimate control over the management of the corporation; or
- (d) on behalf of whom the Client is acting.

\*\*"實益擁有人"指符合以下說明的個人:

- (a) 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)客戶已發行股本的多於 25%;
- (b) 直接或間接地有權行使在客戶的成員大會上的投票權多於 25%, 或支配該比重的投票權的形式; 或
- (c) 行使對客戶的管理最終之控制權; 或
- (d) 客戶代表其行事之人。

### 5. For client want to trade derivative Products 買賣衍生產品客戶必須填寫

Knowledge of Derivative Products 對衍生工具的認識:	Yes 是 / No 否
- Undergone training or attended courses on derivative products 曾接受有關衍生產品的培訓或修讀相關課程	<input type="checkbox"/> Yes <input type="checkbox"/> No
- Current or previous working experience related to derivative products 現時或過去與衍生產品有關工作經驗	<input type="checkbox"/> Yes <input type="checkbox"/> No
- Has executed 5 or more transactions in any derivative product within the past 3 years 過去三年曾買賣衍生產品五次或以上	<input type="checkbox"/> Yes <input type="checkbox"/> No

### 6. For Securities Margin Account Only 證券保證金賬戶填寫

Is there are margin account opened by a member of the same group of companies of the Client? 同一集團旗下之其他公司有否在中陽開立保證金帳戶?	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
Is the Client control 35% or more of the voting rights of another margin client of ZYSL? 客戶是否有控制中陽證券其他保證金帳戶持有人 35%或以上表決權?	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否

### 7. Disclosure of Information 相關資料披露

		Remarks
Is client a licensed corporation registered with the Securities and Futures Commission or registered institution under the Banking Ordinance? 客戶是否為證券及期貨事務監察委員會定義之持牌法團或註冊機構? If yes, CE No. Is 如是, 中央編號為	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	
Are you acting as an intermediary for the account? 客戶是否以中介人身份操作帳戶? If yes, details of the ultimate beneficial owner(s), including a beneficiary holding an interest through a nominee or trust, is/are 如是, 戶口的最終權益擁有人(包括通過代理人或信託人而持有利益之受益人)是 名稱 Name 身份證/護照號碼 HKID/Passport No. 地址 Address	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 <input type="checkbox"/> N/A	
Is any director, shareholder or authorized person of the client a client of ZYSL? If yes, 客戶之任何董事、股東或授權人士是否中陽的客戶? 如是	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	
帳戶號碼 Account No. : 帳戶名稱 Account Name :		
Is any director, shareholder or authorized person of the client a staff of ZYSL? If yes, 客戶之任何董事、股東或授權人士是否中陽的職員? 如是	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	
職員名稱 Name: 職位 Position		
Does any director, shareholder or authorized person of the client have any relationship with the employee of ZYSL? If yes, 客戶之任何董事、股東或授權人士與中陽職員是否有親戚關係? 如是	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	
職員名稱 Name: 關係 Relationship:		

### 8. Notes 注意事項

Please attach a certify true copy of follows document: 請附上經簽署作實之文件副本:

Company Registration certificate 公司註冊證書  
 Business Registration Certificate 商業登記證書  
 Memorandum & Articles of Association 公司組織章程及細則  
 The latest audited financial report 最近之經審核財務報告  
 Annual return 周年申報表  
 Identification Documents and address documents of all Directors and Authorized Person 所有董事及授權人士之身份證及住址證明  
 Board Resolution of account opening in Zhong Yang and authorized persons 通過在中陽開戶及指派獲授權人士操作戶口之董事會決議案  
 W - 8BEN-E 美國預扣稅及申報實益擁有人身分證明(實體)  
 Self-Certification Form (Entity) 自我證明表格(實體)  
 Self-Certification Form (Controlling Person) 自我證明表格(控權人)

## 9. Declaration / Acknowledgement/Standing Authorization by Customer

### 客戶聲明/確認/常設授權

1. The Client agreed to be bound by the terms and conditions in this **Account Application Form, Securities Client Agreement, Futures Client Agreement** and such other documents referred to therein or added thereto (collectively referred to as the "Agreement") entered into with Zhong Yang Securities Limited (ZYSL). All the documents comprising the Agreement are available at the official website of ZYSL ([www.zyqz.com.hk](http://www.zyqz.com.hk)). The Client has already been advised by ZYSL to seek independent legal advice for the terms and conditions in the Agreement.

Before opening the Account with ZYSL, the Client has fully read and understood the terms and conditions in the Agreement and the Client accepts, confirms and agrees to be bound by all such terms and conditions. The Client also understands that depending on the types of accounts or services to be opened or utilized, the Client may be required to sign additional documentation before opening or utilizing such accounts or services.

The Client further acknowledge and confirm that the Client have been invited by ZYSL to read the Risk Disclosure Statement, ask questions and take independent advice, if the Client wish.

客戶同意與中陽證券有限公司("中陽證券")訂立並遵守《開戶申請表》、《證券客戶協議》、《期貨客戶協議》及當中所提及或附加的其他文件(統稱"本協議")內之所有條款及條件。組成本協議的所有文件亦已刊載於中陽證券的官方網站上 ([www.zyqz.com.hk](http://www.zyqz.com.hk))。中陽證券已經建議客戶對本協議內之條款及條件尋求獨立法律意見。

客戶於開立帳戶前已經細閱及完全明白本協議內之條款及條件，客戶並同意、接受及確認遵守該等條款及條件。客戶明白(視乎開立或使用之帳戶或服務種類)客戶可能在開立或使用任何帳戶或服務前須簽署額外的文件。

客戶進一步確認中陽證券已經邀請客戶閱讀風險披露聲明，提出問題及徵求獨立的意見(如客戶有此意願)。

2. ZYSL shall have absolute rights to change, amend, delete or substitute any of the terms in or add new terms to the Agreement. An amendment notice and the revised Agreement will be posted at the ZYSL Website. Such amendment, deletion, substitution or addition shall be deemed as effective and incorporated therein (and shall form part of the Agreement) on the date of publication or issuance of such amendment notice. The Client may raise written objection within fourteen (14) days after the publication or issuance of such amendment notice at ZYSL Website. Failing which, it shall be deemed an acceptance of such amendment, deletion, substitution or addition.

中陽證券有絕對對情權修訂、更改、刪減或取代本協議之任何條款或加入新的條款。修訂通知及修改後之本協議將刊載於中陽證券網站。該修訂、刪減、取代或增加的條款將於相關修訂通知刊載之日起生效，並被視為納入本協議內。客戶可於修訂通知在中陽證券網站上刊載後十四天內以書面向中陽證券提出反對，否則會被視為接受該修訂、刪減、取代或增加的條。

3. The Client acknowledge and agree that (a) the information contained in this form is collected and may be kept by ZYSL for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the Client and any reportable account(s) may be reported by ZYSL to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the Client may be resident for tax purposes, pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112). The Client undertakes to advise ZYSL of any change in circumstances which affects the tax residency status of the Client or causes the information contained herein to become incorrect, and to provide ZYSL with a suitably updated self-certification form within 30 days of such change in circumstances.

本人知悉及同意，財務機構可根據《稅務條例》(第 112 章)有關交換財務帳戶資料的法律條文，(a) 收集本表格所載資料並可備存作自動交換財務帳戶資料用途及 (b) 把該等資料和關於帳戶持有人及任何須申報帳戶的資料向香港特別行政區政府稅務局申報，從而把資料轉交到帳戶持有人的居留司法管轄區的稅務當局。本人承諾，如情況有所改變，以致影響所述的稅務居民身分，或引致本表格所載的資料不正確，本人會通知中陽證券，並會在情況發生改變後 30 日內，向中陽證券提交一份已適當更新的自我證明表格。

4. **Authority to handle client money among segregated accounts**

This authority is given pursuant to the Securities and Futures (Client Money) Rules, which covers money held or received by ZYSL in Hong Kong (including any interest derived from holding the money which does not belong to ZYSL) in one or more segregated account(s) on my/our behalf ("Monies").

The Client authorize ZYSL to combine or consolidate any or all segregated accounts of any name whatsoever and either individually or jointly with others, maintained by ZYSL from time to time and ZYSL may transfer any sum of Monies to and between such segregated account(s) to satisfy my/our obligations or liabilities to any member of the ZYSL, whether such obligations and liabilities are actual or contingent, primary or collateral, secured or unsecured, or joint or several; and transfer any sum of Monies interchangeably between any of the segregated accounts maintained at any time by ZYSL. ZYSL may do any of these things without giving me/us notice. This authority is given to ZYSL in consideration of its agreeing to continue to maintain securities cash account(s) and/or securities margin account(s) and/or Futures Account(s) for me/us, and it is given without prejudice to other authorities or rights which ZYSL may have in relation to dealing in Monies in the segregated accounts. This is valid for a period of 12 months from January 1st to December 31st of the year of signing this Form. This Authority which is not revoked prior to its expiry may be renewed for one or more further periods not exceeding 12 months. This authority may be revoked by giving ZYSL written notice. Such notice shall take effect upon the expiry of 14 days from the date of your actual receipt of such notice. The Client understand that this authority shall be deemed to be renewed on a continuing basis without my/our written consent if ZYSL issues me/us a written reminder at least 14 days prior to the expiry date of this authority, and The Client do not object to such deemed renewal before such expiry date.

#### 有關客戶資金在各客戶獨立帳戶間的調撥授權

本授權根據《證券及期貨(客戶款項)規則》涵蓋中陽證券為我/我們在香港持有或收取並存放於一個或多個獨立帳戶內的款項(包括因持有並非屬於中陽證券的款項而產生之任何利息)(下稱「款項」)。

客戶授權中陽證券組合或合併(個別地或與其他帳戶聯合進行)中陽證券所維持的任何或全部獨立帳戶，中陽證券可將該等獨立帳戶內任何數額之款項作出轉移，以符合客戶對中陽證券確實、或然、原有、附帶、有抵押、無抵押、共同或分別的義務或法律責任；及從中陽證券於任何時候維持的任何獨立帳戶之間來回調動任何數額之款項。中陽證券可不向客戶發出通知而採取上述行動。本授權乃鑑於中陽證券同意繼續客戶的證券現金帳戶和/或證券保證金帳戶和/或期貨帳戶，及並不損害中陽證券可享有有關處理該等獨立帳戶內款項的其他授權或權利。本授權由本資料表簽發年的 1 月 1 日起至 12 月 31 日 12 個月內有效。本授權可在從沒有在生效期內撤銷的情況下延續一或多不多於 12 個月之生效期。客戶可以向中陽證券發出書面通知，以撤回本授權。有關的生效日期為中陽證券真正收到該等通知後 14 日起計算。客戶明白中陽證券若在本授權的有效期屆 14 日前發出書面通知，以提醒本授權即將屆滿，而客戶沒有在本授權屆滿前反對此授權續期，本授權書應當作已被續期。

5. **Authority to re-pledge securities for Margin Securities Trading**

This authority covers the securities or securities collateral received or held by ZYSL on my/our behalf. Unless otherwise defined, all the terms used in this Authorization Letter shall have the same meanings as defined in the Securities and Futures Ordinance and the Securities and Futures (Client Securities) Rules as amended from time to time.

The Client authorize ZYSL to apply any of my/our securities or securities collateral pursuant to a securities borrowing and lending agreement; deposit any of my/our securities collateral with an authorized financial institution as collateral for financial accommodation provided to ZYSL; or deposit any of my/our securities collateral with a recognized clearing house; or another intermediary licensed or registered for dealing in securities, as collateral for the discharge and satisfaction of ZYSL settlement obligations and liabilities. ZYSL may do any of these things without giving me/us notice. ZYSL is accountable to me/us for the return of equivalent securities deposited under this authority after full repayment by me/us of all my/our outstanding loans

under the facility. The Client understand that a third party may have a lien or charge on my/our securities or securities collateral, which ZYSL must satisfy before my/our securities or securities collateral can be returned to me/us. The Client are aware that there is risk if The Client provide ZYSL with an authority that allows ZYSL to apply my/our securities or securities collateral pursuant to a securities borrowing and lending agreement, repledge my/our securities collateral for financial accommodation or deposit my/our securities collateral as collateral for the discharge and satisfaction of ZYSL settlement obligations and liabilities. The Client acknowledge and agree that the authority shall be valid for 12 months and will expire on December 31st from January 1st of the year of this Authorization. This Authority which is not revoked prior to its expiry may be renewed for one or more further periods not exceeding 12 months. The Client understand that the authority shall be deemed to be renewed for subsequent periods of 12 months on a continuing basis without my/our written consent if ZYSL give me/us a written reminder at least 14 days prior to the expiry date and The Client do not object to such deemed renewal before the expiry date. The Client understand that The Client may revoke this authority by giving ZYSL at least five trading days' prior written notice. However, ZYSL may, in its absolute discretion, treat the revocation notice as having immediate effect upon ZYSL receipt.

#### **有關保證證券交易帳戶資產再抵押的授權**

本授權書是關於中陽證券代表本人接收或持有的證券或證券抵押品。除另有說明外，在本授權書內的所有用語應具有經不時修訂的《證券及期貨條例》及《證券及期貨(客戶證券)規則》所定義的相同意思。

客戶等授權中陽證券依據證券借貸協議運用客戶的任何證券或證券抵押品；將客戶的任何證券抵押品存放於認可的財務機構，作為提供予中陽證券的財務通融的抵押品，或將客戶的任何證券抵押品存放於一家認可的結算所；或獲發牌或獲註冊進行證券交易的另一中中介人，作為中陽證券履行交收義務與責任的抵押品。中陽證券可毋須通知客戶而進行上述各項。當客戶全數償還信貸安排下的所有未清償的貸款後，中陽證券須負責向客戶歸還在此授權下存放的相等證券。客戶明白，客戶的證券或證券抵押品可能受制於第三者之留置權或押記，中陽證券必須先行了結有關留置權或押記，方可將客戶的證券或證券抵押品歸還客戶。客戶知悉，客戶若授權中陽證券，准許中陽證券依據證券借貸協議運用客戶的任何證券或證券抵押品，或准許中陽證券再質押客戶的證券抵押品以取得財務通融，或准許中陽證券存放客戶的證券抵押品作為中陽證券履行交收義務與責任的抵押品，如此授權是帶有風險的。客戶確認並同意，此授權有效期為 12 個月，由本授權書簽發年的 1 月 1 日起至 12 月 31 日屆滿。本授權可在從沒有在生效期內撤銷的情況下延續一或多次不多於 12 個月之生效期。客戶明白，若中陽證券在屆滿日之前至少 14 日給予客戶續期通知書而客戶在屆滿日之前沒有表示反對續期，則此授權將視為毋須客戶書面同意而繼續地續期，每次續期期間為 12 個月。客戶明白，客戶可給予中陽證券至少五個交易日的預先書面通知，撤銷此授權。但是，中陽證券有絕對酌情決定權將撤銷授權通知書視為於中陽證券收訖時隨即生效。

#### **6. Authority to handle Money For Trading global futures and securities products**

This Authority covers money held or received by ZYSL (including any interest derived from the holding of the money which does not belong to ZYSL) (the "Monies") in any account(s) maintained by ZYSL for me/us in relation to my/our Foreign Transactions during its valid period unless this Authority is duly revoked prior to the expiry date. Unless the context otherwise requires, all the expressions used in this Authority shall have the same meanings as in the Securities and Futures Ordinance and the Securities and Futures (Client Money) Rules as amended from time to time. The Client hereby authorize ZYSL to deal with monies in my/our futures/securities trading account with the Company that receives from or on behalf of; held on behalf of me/us without prior notice nor it is necessary to obtain prior instruction or confirmation from me/us, in any of the following manner at the sole discretion of ZYSL:

- I. to pay or transfer all or any portion of my/our money to any futures or securities trading/clearing/settlement account(s) maintained by ZYSL with any of its agent broker(s) and/or clearing agent(s), no matter whether they are linked corporation or not, either in Hong Kong or overseas, for the purpose of dealing or clearing/settlement of futures or futures options or securities.
- II. to transfer Monies interchangeably between the segregated account(s) opened and maintained by ZYSL in Hong Kong and the segregated account(s) opened and maintained by ZYSL with any broker(s) and/or clearing firm(s) in or outside Hong Kong; and/or
- III. to enter into foreign exchange contracts necessary to facilitate the purchase or meeting the settlement or margin requirement (if applicable) of the overseas futures contracts on or before the day when funds are required to be converted into other currencies for payment at market rates and in accordance with ZYSL normal practice. The timing will be at ZYSL sole discretion.

The Client hereby agree to indemnify, and to keep indemnified, ZYSL and any broker(s) and/or clearing firm(s) in Hong Kong or overseas 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 without prejudice to other authorities or rights which ZYSL may have in relation to dealing in the Monies in the segregated accounts. This Authority is valid for a period of 12 months from January 1st to December 31st of the year of signing this Form. This Authority may be revoked by me/us at any time by serving on ZYSL written notice to that effect. Such revocation shall not take effect upon the expiry of 10 days from the date of ZYSL's actual receipt by ZYSL of such written notice and shall not affect any transaction undertaken by the Company pursuant to this Authority prior to such revocation taking effect. The Client acknowledge and agree that this Authority shall be deemed to be renewed on a continuing basis without my/our written consent if ZYSL issues me/us a written reminder at least fourteen (14) days prior to the expiry date of this Authority, and The Client do not object to such deemed renewal before such expiry date. The Client acknowledge that the my/our 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 (Cap.571) and the rules made thereunder. Consequently, such assets may not enjoy the same protection as that conferred on client assets received or held in Hong Kong.

#### **有關開設海外證券及期貨交易帳戶資金處理的授權**

除本授權書於到期前被撤回外，本授權書有效期內，本授權涵蓋中陽證券收取或持有並存放於任何賬戶內有關外地交易的款項（包括因持有並非屬於中陽證券的款項的產生之任何利息）（“款項”）。除文義另有所指外，於本授權內的任何名詞，《證券及期貨條例》及《證券及期貨（客戶款項）規則》不時修訂之定義具有相同意思。客戶謹以本授權授權中陽證券按下列方式自行酌情處理客戶於中陽證券之期貨/證券帳戶內任何數額之款項而無須事先給予客戶任何事先通知或事先取得客戶的指示及/或確認：

- I. 將任何數額之款項轉往中陽證券於其代理經紀及/或清算代理（不論該代理是否貴行之系內公司），在香港或海外開立的任何期貨/證券之交易/清算/交收帳戶，以作客戶買賣環球期貨/證券之用；及
- II. 從中陽證券在香港設立的獨立賬戶及在任何在香港或海外的經紀人及/或結算公司獨立賬戶之間來回調動；及/或
- III. 訂立外幣兌換合約，適用於當日或之前為了購買海外期貨合約之用或符合交收或按金的要求（如適用）而需要將資金轉換為其他貨幣，此等兌換合約按中陽證券日常慣例並以市場匯率訂立。訂約時間由中陽證券自行酌情決定。

客戶謹此同意就中陽證券及香港或海外經紀人及/或結算公司，因執行上述授權而可能產生、蒙受及/或承受一切虧損、損失、利息、費用、開支、法律訴訟、付款要求索償等等向中陽證券及香港或海外經紀人及/或結算公司作出賠償，並保障中陽證券及香港或海外經紀人及/或結算公司免受損害。本授權並不損害中陽證券可享有有關處理該等獨立賬戶內款項的其他授權或權利。本授權的有效期為 12 個月自本授權之簽發年的 1 月 1 日起至 12 月 31 日內有效。本授權可於任何時候被客戶以書面通知中陽證券提出撤銷，該等通知之生效日期為中陽證券真正收到該等通知後之 10 營業日起生效。然而在中陽證券收到撤銷的書面通知生效之前，任何中陽證券按本授權所達成的任何交易均不受該項撤銷所影響。客戶確認並同意，中陽證券若在本授權的有效期屆滿前 14 日之前向客戶發出通知，提醒客戶本授權即將屆滿，而客戶沒有在授權屆滿前反對此授權續期，本授權應當作在不需要客戶以書面同意下按持續的基準已被續期。客戶確認持牌人或註冊人在香港以外地方收取或持有客戶的資產，是受到有關海外司法管轄區的適用法律及規例所監管的。這些法律及規例與《證券及期貨條例》（第 571 條）及根據該條例制訂的規則可能有所不同。因此，有關資產將可能不會享有賦予在香港收取或持有的客戶資產的相同保障。

The Client declare and confirm that all the information provided in this Account Application Form is true, complete and correct and authorize ZYSL to contact anyone, including my/our banks, brokers or credit agency, for verifying such information. The Client undertake to inform and provide ZYSL with certified copies of any replacement or supporting documents immediately upon occurrence of any changes to such information.

客戶聲明及確認，所有於本開戶申請表提供的資料均屬真實，完整及正確，並授權中陽證券可向任何人士機構查證（包括客戶之銀行、經紀或信用調查機構）。客戶承諾，如該些資料有任何的更改，客戶將立即通知中陽證券及提供任何取替或證明文件的經核證副本。

The Client hereby give(s) following authorization(s) as set out in this section and confirm that these authorities has been explained to me/us. The Client fully understands the contents of these authority and has sought, or has had the opportunity to seek, legal advice concerning its contents and effect.

客戶並同時於此給予按本部份第 5、6 和/或第 7 項內設定的授權安排作出授權；客戶確認中陽證券已向其解釋各項授權，客戶完全明白授權的內容，並已經或有機會就其內容及效力尋求法律顧問的意見。

- Clause 4: Authority to handle client money among segregated accounts**  
第 4 條：有關客戶資金在各客戶獨立帳戶間的調撥授權
- Clause 5: Authority to re-pledge securities for Margin Securities Trading**  
第 5 條：有關保證金證券交易帳戶資產再抵押的授權
- Clause 6: Authority to handle Money For Trading securities and global futures products**  
第 6 條：有關開設海外證券及期貨交易帳戶資金處理的授權

Client Signature 客戶簽署

Client Signature 客戶簽署

Name of Authorised Person  
授權代表名稱

Name of Authorised Person  
授權代表名稱

Position  
職位

Date  
日期

Position  
職位

Date  
日期

Company Chop 公司印章

In the event of any difference in interpretation or meaning between the English and Chinese version, The Client agree that the English version shall prevail. 如中、英文本之解釋或意思有不相同，客戶同意以英文本為準。

## 10. Certification 核證

**To be completed when Account Application Form not signed before a staff member/licensed representative of Zhong Yang Securities Limited** 如開戶申請表並非在中陽證券有限公司的僱員 / 持牌代表面前簽署，請填此欄

I am a \* Justice of the Peace/branch manager of a licensed bank/lawyer/certified public accountant (practising)/notary public/SFC licensed or registered person. I hereby certify that on the date above written in this Section 9, this Account Application Form was executed by the Applicant named in this Account Application Form (who had been previously identified by production of the original of his/her Identity Card or Passport (detailed above) to me) before me and signature of the Applicant was affixed to this Account Application Form in my presence.

本人乃 \* 太平紳士 / 持牌銀行分行經理 / 律師 / 執業會計師 / 公證人 / 證監會持牌或註冊人士。本人現證實：於以上在本 9 項所寫的日期當日，本開戶申請表乃由本開戶申請表所指名的申請人(其身份已根據並向本人出示之身份證或護照(詳見上方)正本作核實)於本人面前簽訂。 (\* Please delete as inappropriate 請刪去不適用者)

\_\_\_\_\_  
Signature of the certifier 證明人簽署

\_\_\_\_\_  
Date 日期

\_\_\_\_\_  
Name of the certifier (please print) 證明人姓名(正楷)

\_\_\_\_\_  
Title/ Profession 銜頭/專業

\_\_\_\_\_  
Profession Organization 所屬專業團體

### 11. Declaration by Staff 職員聲明

The following staff of Zhong Yang Securities Limited has provided the Client with the **Account Application Form, the Securities Client Agreement, the Futures Client Agreement** and the **Risk Disclosure Statement** (all written in English and Chinese languages) and also invited the Client to read the same, ask questions and take independent advice if the Client so wish.

以下之中陽證券有限公司之職員已向客戶提供該《開戶申請表》、《證券客戶協議》、《期貨客戶協議》及《風險披露聲明》(全部附有中英文版本), 並要求客戶參閱所有提供文件及提出問題、及可隨意尋求獨立意見。

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Signature of staff 職員簽署:

CE No. 中央號碼

Name of staff 職員姓名:

Date 日期

### 12. Execution by Zhong Yang Securities Limited 中陽證券有限公司簽訂

We agree to open and maintain the above trading account(s) for the Client subject to the Terms and Conditions of the Agreement. 我們同意根據該協議條款及條件代客戶開立以上之交易戶口。

**For and on behalf of  
Zhong Yang Securities Limited**

Signature 簽署

Name 姓名

Date 日期

#### For office use only

Handled by	Approved by	Inputted by	Notified by
Name	Name	Name	Name
Date	Date	Date	Date