



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

1. 帳戶類型 ACCOUNT TYPE

現金帳戶 Cash Account / 保證金帳戶 Margin Account

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

中國 China
 香港 H.K.

或
Or

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

通訊地址
Correspondence 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.

()

微信帳號 Wechat ID

電郵地址 E-mail Address

就業概況 Employment Status

自僱人士 Self Employed

業務性質 Nature of Business :

受僱 Employed

職業 Occupation :

僱主全稱 Name of Employer :

其他 Others :

財務狀況 Financial Status

個人每月收入(港元)
Personal Monthly Income (HKD)

低於 10 萬
Under \$100,000

10 萬至 20 萬
\$100,000 - \$200,000

高於 20 萬
Over \$200,000

個人財富淨值(港元)
Personal Net Worth (HKD)

低於 1 百萬
Under \$1 million

1 百萬至 8 百萬
\$1 million - \$8 million

高於 8 百萬
Over \$8 million

投資經驗 Investment Experience

股票 Stock

年 year(s)

期權 Options

年 year(s)

認股證(窩輪) Warrants

年 year(s)

期貨 Futures

年 year(s)



結構或衍生產品所擁有的知識 KNOWLEDGE OF STRUCTURED OR DERIVATIVE PRODUCTS	
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.	
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"/> 否 No

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

<p>你是否美國公民或居民？Are you a U.S. citizen or resident?</p> <p><input type="checkbox"/> 是 Yes，美國納稅人編號 U.S. Taxpayer ID No.: _____</p> <p><input type="checkbox"/> 否 No 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）？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?</p> <p><input type="checkbox"/> 同意 Yes <input type="checkbox"/> 不同意 No</p>	
<p>你及/或你的配偶、合夥人、子女、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)?</p> <p>政治人物是指受託行使具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）。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).</p> <p><input type="checkbox"/> 否 No <input type="checkbox"/> 是 Yes 政治人物姓名：_____ 關係：_____</p> <p>Name of PEP: _____ Relationship: _____</p>	
<p>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?</p> <p><input type="checkbox"/> 否 No <input type="checkbox"/> 是，本人是一名 Yes, I am a <input type="checkbox"/> 董事 director / <input type="checkbox"/> 大股東 substantial shareholder</p> <p>上市公司名稱：_____ 股權比例（如適用）：_____</p> <p>Name of listed company: _____ Shareholding (if applicable): _____</p>	
<p>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)?</p> <p><input type="checkbox"/> 否 No <input type="checkbox"/> 是 Yes 持牌/註冊法團名稱 Name of licensed/registered corporation: _____</p>	
<p>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?</p> <p><input type="checkbox"/> 否 No <input type="checkbox"/> 是 Yes 董事/僱員姓名：_____ 關係：_____</p> <p>Name of director/employee: _____ Relationship: _____</p>	

(以下僅適用於保證金帳戶) (For Margin Account Only)	
<p>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?</p> <p><input type="checkbox"/> 否 No <input type="checkbox"/> 是 Yes</p> <p><input type="checkbox"/> 不適用 N/A 配偶姓名：_____ 身份證號碼：_____ 帳號：_____</p> <p>Name of spouse: _____ ID number.: _____ AC no.: _____</p>	
<p>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?</p> <p><input type="checkbox"/> 否 No <input type="checkbox"/> 是 Yes 保證金帳戶客戶名稱：_____ 帳號：_____</p> <p>Name of margin account client: _____ AC no.: _____</p>	

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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) <input type="checkbox"/> Mr. / <input type="checkbox"/> Ms. / <input type="checkbox"/> Miss		
姓名 (中文) Name (Chinese)		(姓)	(名) <input type="checkbox"/> 先生 / <input type="checkbox"/> 女士 / <input type="checkbox"/> 小姐		
身份證號碼 ID No.	<input type="checkbox"/> 中國 China <input type="checkbox"/> 香港 H.K.		或 Or	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					
通訊地址 Correspondence 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.	()	微信帳號 Wechat ID			
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		職業 Occupation :			
僱主全稱 Name of Employer :					
<input type="checkbox"/> 其他 Others :					
財務狀況 Financial Status					
個人每月收入(港元) Personal Monthly Income (HKD)	<input type="checkbox"/> 低於 10 萬 Under \$100,000	<input type="checkbox"/> 10 萬至 20 萬 \$100,000 - \$200,000	<input type="checkbox"/> 高於 20 萬 Over \$200,000		
個人財富淨值(港元) Personal Net Worth (HKD)	<input type="checkbox"/> 低於 1 百萬 Under \$1 million	<input type="checkbox"/> 1 百萬至 8 百萬 \$1 million - \$8 million	<input type="checkbox"/> 高於 8 百萬 Over \$8 million		
投資經驗 Investment Experience					
股票 Stock	年 year(s)	期權 Options	年 year(s)		
認股證(窩輪) Warrants	年 year(s)	期貨 Futures	年 year(s)		

結構或衍生產品所擁有的知識* KNOWLEDGE OF STRUCTURED OR DERIVATIVE PRODUCTS*	
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.	
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"/> 否 No

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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?

- 是 Yes，美國納稅人編號 U.S. Taxpayer ID No.: _____
 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）？ 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、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)?

政治人物是指受託行使具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）。

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： _____ 關係： _____
 Name of PEP: _____ 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
 上市公司名稱： _____ 股權比例（如適用）： _____
 Name of listed company: _____ 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權公司或其控權公司的任何附屬公司的僱員或董事，或華大證券或其控權公司或其控權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： _____ 關係： _____
 Name of director/employee: _____ Relationship: _____

（以下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?

- 否 No 是 Yes
 不適用 N/A 配偶姓名： _____ 身份證號碼： _____ 帳號： _____
 Name of spouse: _____ ID number.: _____ AC 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： _____ 帳號： _____
 Name of margin account client: _____ AC no.: _____

6. 帳戶投資目標 ACCOUNT INVESTMENT OBJECTIVES	
投資目標 Investment Objectives	(可勾選多項) (More than one option can be chosen) <input type="checkbox"/> 收益 Income <input type="checkbox"/> 增長 Growth <input type="checkbox"/> 投機 Speculation <input type="checkbox"/> 其他 Others: _____

7. 帳戶通訊資料 ACCOUNT CORRESPONDENCE INFORMATION	
語言 Language	(只選一項) (Only one option can be chosen) <input type="checkbox"/> 英文 English <input type="checkbox"/> 中文 Chinese
結單寄送方式 Delivery Method	<input type="checkbox"/> 透過電郵收取 By E-mail 電郵地址： E-mail address: _____ <input type="checkbox"/> 透過郵寄方式收取 By Post 勾選此項即同意在每月月底支付每月郵寄費用 Monthly postal fee will be charged at the end of each month
	申請人確認簽署 Confirmed by Applicant

8. 在經紀人處登記的銀行 (用於存款及提取資金) *			
BANK TO BE REGISTERED WITH THE BROKER (FOR FUND DEPOSIT AND 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"/> 港幣 Hong Kong Dollar <input type="checkbox"/> 多種貨幣 Multi-Currency <input type="checkbox"/> 其他 Other: _____			
<input type="checkbox"/> 港幣 Hong Kong Dollar <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，則須另行提交存款及提取資金書面指示。銀行帳戶名稱必須與帳戶持有人名稱一致。 * Written fund deposit and 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. 申請人的身份聲明 IDENTITY DECLARATION	
你是否為帳戶的最終受益人? Are you the ultimate beneficiary of the Account? 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 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.	
<input type="checkbox"/> 是 Yes <input type="checkbox"/> 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?	
<input type="checkbox"/> 是 Yes <input type="checkbox"/> 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/我們向經紀人(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/我們謹此授權經紀人隨時向本人/我們的銀行索取各類參考及帳戶餘額資訊(本人/我們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/我們亦謹此授權經紀人為確認本人/我們的財務狀況及投資目標實施任何信貸調查。 2、本人/我們聲明在本開戶申請表中提供的所有資訊以及本人/我們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/我們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。	

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- 3、本人/我們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/我們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/我們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/我們確認並理解，本人/我們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/我們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/我們確認收到有關本申請的以下文件的中文/英文副本(按本人/我們所選擇的語言)：(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/我們聲明，本人/我們已獲告知本人/我們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/我們進一步聲明，本人/我們已細閱整份客戶協議內容；本人/我們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/我們能夠理解的語言向本人/我們作出全面及明確說明。本人/我們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/我們之間的完整協議。
- 7、本人/我們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/我們確認本人/我們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/我們有意指派本人/我們以外的其他人士操作該帳戶，本人/我們理解本人/我們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/我們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/我們理解若本人/我們未能在本確認書上簽署並加註日期，經紀人將無法按本人/我們的指示進行證券/期貨交易。
- 10、本人/我們已獲告知，如本人/我們選擇開立保證金帳戶，經紀人可再質押本人/我們的證券抵押品。
- 11、本人/我們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/我們已剔選下方空格，否則本人/我們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/我們的個人資料：

本人/我們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/我們的個人資料。

以上內容代表本人/我們是否同意貴公司就直銷活動與本人/我們聯絡或向本人/我們發送相關資訊的目前意願。以上內容將取代本人/我們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/我們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。

自動交換財務帳戶資料

本人/我們知悉及同意，經紀人可根據《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)把該等資料和關於本人/我們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/我們承諾，如情況有所改變，以致影響本表格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/我們會在情況發生改變後 30 日內通知經紀人。

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/我們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/我們發出通知的情況下作出以下任何行動：

- 1、組合或合併本人/我們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/我們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/我們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/我們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/我們確認本人/我們全面理解本授權的內容，並且本人/我們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：

請在每頁右下
方框內簽名

- (a)處置任何證券抵押品，以履行(i)本人/我們維持約定保證金金額的責任；及(ii)本人/我們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/我們提供財務通融，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/我們確認本人/我們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屆滿前至少十四(14)日向本人/我們發出提示通知書。本人/我們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/我們可隨時撤銷該授權，而該撤銷應自經紀人實際收到本人/我們簽署的撤銷通知正本後七(7)個營業日生效。
- 3、本人/我們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/我們確認若本人/我們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/我們提供清償任何交易所需的任何融資。本人/我們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/我們亦確認，除向經紀人另行書面披露之外：
- (a)本人/我們的配偶並非經紀人保證金帳戶客戶；及
- (b)本人/我們並未(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/我們謹此同意就經紀人、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/我們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/我們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/我們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/我們明白，若經紀人在本授權屆滿日期前至少十四(14)日向本人/我們發送提示通知書，本授權即應在無需取得本人/我們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/我們亦不反對在該等屆滿日期前作出的該等被視為續期。

本人/我們確認持牌人或註冊人在香港境外代表本人/我們持有或收取的資產(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/我們確認經紀人已就本授權向本人/我們作出明確說明。本人/我們全面理解本授權內容，並且本人/我們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"), I / 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 I / we open with the Broker):

General

1. I / we hereby authorise the Broker to obtain at any time references and account balances from my / our bankers (I / we 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 / we hereby authorise the Broker to conduct credit enquiries and checks for the purpose of ascertaining my / our financial situation and investment objectives.
2. I / we declare that all information provided in this Account Opening Form and all supporting and relevant documents submitted by me / us 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 / we undertake that I / we shall advise the Broker forthwith of any changes to the information supplied in this Account Opening Form and in relation to the Application. I / we 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 / us to the Broker in relation to this Application.
4. I / we confirm my / our understanding that if I / we wish, I / we 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 / we 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 / our choice (English or Chinese). These documents, together with the Account Opening Form, are collectively referred to hereinafter as the "Client Agreement".
5. I / we declare that I / we have been advised to read the Client Agreement carefully, to ask questions and to take independent advice if I / we wish.
 6. I / we further declare that I / we have read the Client Agreement thoroughly; that I / we 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 / us fully and clearly in a language which I / we understand. I / we 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 / we 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 / we recognise that I / we 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 / we intend to appoint people other than me / us to operate the account, I / we understand that I / we shall execute a "Letter of Authorisation and Indemnity" in favour of the Broker, in the form provided by the Broker.
 9. I / we 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 / we understand that the Broker will not be able to effect my / our instructions to deal in securities/futures if this acknowledgement is not signed and dated by me.
 10. I / we have been informed that in case I / we open a Margin Account, the Broker may repledge my / our securities collateral.
 11. I / we 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 / our Application.
 12. In the event of any difference in interpretation or meaning between the Chinese and English versions of these authorisations, I / we agree that the English version shall prevail.

Direct Marketing Authorisation (Applicable to all accounts)

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

I / we DISAGREE Broker and the Broker's Group Company to use my / our personal data in direct marketing

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

My / our 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 / we should also refer to the policy statement on the kinds of personal data which may be used in direct marketing.

Automatic Exchange of Financial Account Information

I / we acknowledge and agree that (a) the information contained in this form is collected and may be kept by the Broker for the purpose of automatic exchange of financial account information, and (b) such information and information regarding my / our account and any reportable account(s) may be reported by the Broker 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 I / we 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). I / we undertake to advise the Broker of any change in circumstances which affects my / our tax residency status or causes the information contained herein to become incorrect within 30 days of such change in circumstances.

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 / our 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 571 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 / us 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 / our 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 / we 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 / we confirm that I / we fully understand the contents of this authority and I / we further confirm my / our 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 / our obligation to maintain the agreed level of margin; and (ii) any other liability of me / us 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 / us in the course of dealing in securities and also provides financial accommodation to me / us in the course of any other regulated activity for which the Broker is licensed or registered.

2. I / we confirm that I / we 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 / us a reminder at least fourteen (14) days prior to the expiry of this authority. I / we 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 / our 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 / our signature.

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

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

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

I / we 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 / our 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 / us with notice in writing to the Broker. This authority may be revoked by me / us 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 / we 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 / our written consent if the Broker issues me / us a written reminder at least fourteen (14) days prior to the expiry date of this authority, and I / we do not object to such deemed renewal before such expiry date.

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

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申請人及見證人簽署 SIGNED BY APPLICANT(S) 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 / 護照號碼 : _____ 日期 : _____
Name of witness: _____ ID no./Passport no.: _____ Date: _____

* 見證人必須為持牌人或華大證券有限公司的員工 *Witness must be either a licensed person, or employee of Prime China Securities Limited.

持牌人聲明 DECLARATION BY A LICENSED PERSON 此欄只供華大證券填寫 FOR OFFICE USE ONLY

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 _____

