

凱敏證券有限公司(「凱敏證券」)是根據《證券及期貨條例》(第571章)就第一類受規管活動(即證券交易)及第四類受規管活動(即就證券提供意見)獲發牌的持牌法團,其中央編號為AEU219,為香港聯合交易所有限公司的交易所參與者。Hermes Securities Limited(「HSL」) is a licensed corporation that is licensed for Type 1 Regulated Activity (i.e. Dealing in Securities) and Type 4 Regulated Activity (i.e. Advising on Securities) under the Securities and Futures Ordinance (Cap. 571) with CE No. AEU219 and is an Exchange Participant of The Stock Exchange of Hong Kong Limited.

## ACCOUNT OPENING FORM 開戶表格 (INSTITUTIONAL PROFESSIONAL INVESTOR 機構專業投資者)

(For Internal Use Only 只供內部使用)

Responsible AE & Code 負責客戶主任姓名及編號	Introduced by 介紹人
Account No. 賬戶號碼	Account Opening Date 開戶日期
<b>A. Account Type 賬戶類別</b>	
Account Type 賬戶類別	<input type="checkbox"/> Cash Account 現金賬戶 <input type="checkbox"/> Margin Account 融資賬戶
Require internet trading services? 是否需要網上交易服務?	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
Require services in trading U.S. stocks? 是否需要買賣美股服務?	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No

### B. Corporate Information 公司資料

Company Name (English) 公司名稱 (英文)	Company Name (Chinese) 公司名稱 (中文)
Type of Company 公司類別 <input type="checkbox"/> Sole Proprietorship 獨資經營 <input type="checkbox"/> Limited Company 有限公司 <input type="checkbox"/> Listed Company 上市公司 <input type="checkbox"/> Partnerships 合夥企業 <input type="checkbox"/> Trust 信託 <input type="checkbox"/> Other 其他: _____	
Registered Address 註冊地址	
Business Address 業務地址	
E-mail Address (for internet trading and receipt of e-statements (if applicable)) 電郵地址 (適用於經網上交易及收取電子結單 (如適用))	
Office Mobile Phone No. (applicable for trading via APP) 辦公室手提電話號碼 (適用於經 APP 交易)	
Method of Communication 通訊方法 <input type="checkbox"/> E-mail Address 電郵地址 By Post to 郵遞至* <input type="checkbox"/> Registered Address 註冊地址 <input type="checkbox"/> Business Address 業務地址 <input type="checkbox"/> Correspondence Address 通訊地址: _____	
*If you preferred method of communication is mailing, a postage service fee shall be charged for HK200.00 per month *如選用郵遞形式, 將收取郵遞服務費每月港幣\$200.00 元正	
LEI No. 法律實體識別編號	
Country of Incorporation 註冊成立國家	Date of Incorporation 註冊成立日期
Business Registration No. 商業登記編號	Certificates of Incorporation No. 公司註冊編號
Nature of Business 業務性質	No. of Years in Business 經營業務年期
Office Phone No. 辦公室電話號碼	Office Fax No. 辦公室傳真號碼
Contact Person's Name 聯絡人姓名	Contact Person's Phone No. 聯絡人電話號碼
Contact Person's E-mail Address 聯絡人電郵地址	

## C. Institutional Professional Investor Assessment Form 機構專業投資者評估表格

<p>Pursuant to the definition of "Institutional Professional Investors" under paragraphs (a) to (i) of section 1 of Part 1 of Schedule 1 to the Securities and Futures Ordinance (Cap. 571) ("SFO") and paragraph 15.2 of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission, we acknowledge, declare and confirm that we are an Institutional Professional Investor within one of the following categories:</p> <p>根據《證券及期貨條例》(第571章) 附表 1 第 1 部第 1 條第 (a) 到第 (i) 段及證券及期貨事務監察委員會持牌人或註冊人操守準則第 15.2 段裡對「機構專業投資者」的定義，吾等確認及聲明吾等為以下一個組別的機構專業投資者：</p>	
Category 類別	Nature of Business 業務性質
<input type="checkbox"/> (A)	<p>A recognised exchange company, recognised clearing house, recognised exchange controller or recognised investor compensation company, or a person authorised to provide automated trading services under section 95(2) of the SFO.</p> <p>認可交易所、認可結算所、認可控制人或認可投資者賠償公司，或根據《證券及期貨條例》第 95(2) 條獲認可提供自動化交易服務的人。</p>
<input type="checkbox"/> (B)	<p>An intermediary, or a person carrying on the business of the provision of investment services and regulated under the law of a place outside Hong Kong.</p> <p>中介人，或經營提供投資服務的業務並受香港以外地方的法律規管的其他人。</p>
<input type="checkbox"/> (C)	<p>An authorised financial institution, or a bank which is not an authorised financial institution but is regulated under the law of a place outside Hong Kong.</p> <p>認可財務機構，或並非認可財務機構但受香港以外地方的法律規管的銀行。</p>
<input type="checkbox"/> (D)	<p>An insurer authorised under the Insurance Companies Ordinance (Cap. 41), or a person carrying on insurance business and regulated under the law of a place outside Hong Kong.</p> <p>根據《保險業條例》(第 41 章) 獲授權的保險人，或經營保險業務並受香港以外地方的法律規管的其他人。</p>
<input type="checkbox"/> (E)	<p>A scheme which:-</p> <p>符合以下說明的計劃：</p> <p>(i) is a collective investment scheme authorized under section 104 of SFO; or 屬根據《證券及期貨條例》第 104 條獲認可的集體投資計劃；或</p> <p>(ii) is similarly constituted under the law of any place outside Hong Kong and, if it is regulated under the law of such place, is permitted to be operated under the law of such place, or any person by whom any such scheme is operated. 以相似的方式根據香港以外地方的法律成立，並（如受該地方的法律規管）根據該地方的法律獲准許營辦，或營辦任何該等計劃的人。</p>
<input type="checkbox"/> (F)	<p>A registered scheme as defined in section 2(1) of the Mandatory Provident Fund Schemes Ordinance (Cap. 485) ("MPFSO"), or its constituent fund as defined in section 2 of the Mandatory Provident Fund Schemes (General) Regulation (Cap. 485 sub. leg. A), or a person who, in relation to such registered scheme, is an approved trustee or service provider as defined in section 2(1) of the MPFSO or who is an investment manager of such registered scheme or constituent fund.</p> <p>《強制性公積金計劃條例》(第 485 章) 第 2(1) 條界定的註冊計劃，或《強制性公積金計劃（一般）規例》(第485章，附屬法例 A) 第 2 條界定的該等計劃的成分基金，或就任何該等計劃而言屬該條例第 2(1) 條界定的核准受託人或服務提供者或屬任何該等計劃或基金的投資經理的人。</p>
<input type="checkbox"/> (G)	<p>A scheme which:-</p> <p>符合以下說明的計劃：</p> <p>(i) is a registered scheme as defined in section 2(1) of the Occupational Retirement Schemes Ordinance (Cap. 426); or 屬《職業退休計劃條例》(第 426 章) 第 2(1) 條界定的註冊計劃；或</p> <p>(ii) is an offshore scheme as defined in section 2(1) of that Ordinance and, if it is regulated under the law of the place in which it is domiciled, is permitted to be operated under the law of such place, or any person who, in relation to any such scheme, is an administrator as defined in section 2(1) of that Ordinance. 屬該條例第 2(1) 條界定的離岸計劃，並（如以某地方為本籍而受該地方的法律規管）根據該地方的法律獲准許營辦，或就任何該等計劃而言屬該條例第 2(1) 條界定的管理的人。</p>
<input type="checkbox"/> (H)	<p>any government (other than a municipal government authority), any institution which performs the functions of a central bank, or any multilateral agency.</p> <p>任何政府（市政府當局除外）、執行中央銀行職能的任何機構，或任何多邊機構。</p>
<input type="checkbox"/> (I)	<p>except for the purposes of Schedule 5 to SFO, any corporation which is:-</p> <p>(除為施行《證券及期貨條例》附表 5 外) 符合以下說明的法團：</p> <p>(i) a wholly owned subsidiary of- 屬下述者的全資附屬公司—</p> <p>(a) an intermediary, or any other person carrying on the business of the provision of investment services and regulated under the law of any place outside Hong Kong; or 中介人，或經營提供投資服務的業務並受香港以外地方的法律規管的其他人；或</p> <p>(b) an authorized financial institution, or any bank which is not an authorized financial institution but is regulated under the law of any place outside Hong Kong; 認可財務機構，或並非認可財務機構但受香港以外地方的法律規管的銀行；</p> <p>(ii) a holding company which holds all the issued share capital of- 屬持有下述者的所有已發行股本的控股公司—</p> <p>(a) an intermediary, or any other person carrying on the business of the provision of investment services and regulated under the law of any place outside Hong Kong; or 中介人，或經營提供投資服務的業務並受香港以外地方的法律規管的其他人；或</p> <p>(b) an authorized financial institution, or any bank which is not an authorized financial institution but is regulated under the law of any place outside Hong Kong; or 認可財務機構，或並非認可財務機構但受香港以外地方的法律規管的銀行；或</p> <p>(iii) any other wholly owned subsidiary of a holding company referred to in subparagraph (ii). 屬第 (ii) 節提述的控股公司的任何其他全資附屬公司。</p>

## D. Settlement Instructions 交收指示

All monies payable to us are to be transferred to the following bank account(s):

任何吾等應收款項應存入以下銀行賬戶：

Currency 貨幣	Name of Bank 銀行名稱	Account No 賬戶號碼	Name of Account Holder 賬戶持有人名稱	Country of Receiving Bank 收款銀行所在國家
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CCASS Participant No.

中央結算交收系統參與者號碼：\_\_\_\_\_

Contact Person of Settlement Department

交收部聯絡人：

Name

姓名：\_\_\_\_\_

Title

職位：\_\_\_\_\_

Telephone No.

電話號碼：\_\_\_\_\_

Fax No.

傳真號碼：\_\_\_\_\_

E-mail

電郵地址：\_\_\_\_\_

## E. Corporate Structure 公司結構

**PARTICULARS OF ALL DIRECTORS 所有董事的資料**

	Name 姓名	Date of Birth 出生日期	Nationality 國籍	ID Card / Passport No. 身份證 / 護照號碼
1				
2				
3				
4				
5				
6				

## F. Trading Authorization 交易授權

Any \_\_\_\_\_ of the following person(s) is/are authorized on behalf of the Company to give written and/or oral trading instruction and specimen signatures appearing against their names are the true signatures of the authorized person(s):

以下任何 \_\_\_\_\_ 位人士均可代表本公司以書面及/或口頭發出交易指示，而授權人士之真實簽名樣本已於其姓名旁邊顯示：

	Name 姓名	Nationality 國籍	ID Card / Passport No. 身份證 / 護照號碼	Phone No. 電話號碼	Email Address 電郵地址	Specimen Signature 簽名式樣
1						
2						
3						
4						
5						
6						

## G. Signing Arrangement 簽名安排

Any \_\_\_\_\_ of the following person(s) is/are authorized deposit/receive and/or withdraw/deliver funds and/or shares to from the Account and give settlement instructions and/or any other instructions on behalf of the Company and the specimen signatures appearing against their names are the true signatures of the authorized person(s):

以下任何 \_\_\_\_\_ 位人士簽署均可代表本公司對賬戶進行資金/股票儲存/提取，發出清算指令和其他有關賬戶的指令，而授權人士之真實簽名樣本已於其姓名旁邊顯示：

	Name 姓名	Nationality 國籍	ID Card / Passport No. 身份證 / 護照號碼	Phone No. 電話號碼	Email Address 電郵地址	Specimen Signature 簽名式樣
1						
2						
3						
4						
5						
6						

## H. Related Client (For Margin Account Only) 關聯客戶 (僅適用於融資賬戶)

Is your company in control of 35% or more of the voting rights of another company which is a margin client of HSL?

貴公司是否控制另一凱敏證券融資公司賬戶 35% 或以上的投票權？

No 否  Yes 是 (If yes, please specify 如是，請註明：\_\_\_\_\_)

Do another margin client of HSL control 35% or more of the voting rights of your company (if that margin client is an individual, includes the voting rights of his/her spouse)?

另一凱敏證券的融資賬戶是否控制貴公司 35% 或以上的投票權 (如該客戶為個人，則包括其配偶的投票權)？

No 否  Yes 是 (If yes, please specify 如是，請註明：\_\_\_\_\_)

Are your company and another corporate margin client of HSL members of the same group?

貴公司與另一凱敏證券融資客戶是否均屬同一公司集團的成員？

No 否  Yes 是 (If yes, please specify 如是，請註明：\_\_\_\_\_)

## I. Disclosure of Information 資料披露

Is any of your directors, partners, shareholders or his spouse, partner, children, parents, spouse or partner of his children, close associate a "Politically Exposed Person" ("PEP") (i.e. an individual is or has been entrusted with a prominent public function in any place, including but not limited to a head of state, head of government, senior politician, senior government, judicial or military official, senior executive of a state-owned corporation and an important political party official)?

貴公司的董事、合夥人、股東、或其配偶、伴侶、子女、父母、子女之配偶或伴侶、或與其關係密切的人仕是否「政治人物」(即該人仕在任何地方擔任或曾擔任重要公職，包括但不限於國家元首、政府首長、資深從政者、高級政府、司法或軍事官員、國有企業高級行政人員及重要政黨幹事)？

No 否

Yes 是 (If yes, please specify 如是，請註明：\_\_\_\_\_)

## J. Use of Personal Data in Direct Marketing 使用個人資料作直接促銷

HSL intends to use personal data of your company for direct marketing. Personal data includes name, contact details, financial backgrounds and statistical data of your company which are provided to HSL under the account opening documents or obtained by HSL from time to time. Your company explicitly agree that your personal data may be used by or transferred to HSL and/or any HSL's affiliates for direct marketing purpose. Your company further agree to receive such direct marketing materials from HSL and/or any HSL's affiliates, unless our company indicates an objection herein below:

凱敏證券擬使用貴公司的個人資料作直接促銷。該等個人資料包括貴公司在開戶文件中向凱敏證券提供的及凱敏證券不時所獲得貴公司的名稱、聯絡詳情、財務背景及統計資料等。貴公司明確同意凱敏證券及/或任何凱敏證券附屬公司可使用或轉移貴公司的個人資料，作直接促銷用途。貴公司進一步同意收取凱敏證券及/或任何凱敏證券附屬公司該等直接促銷資料，除非貴公司在下方表示反對：

The Company objects to the proposed use or transfer of personal data of the Company by HSL and/or any HSL's affiliates for direct marketing purposes.  
本公司反對凱敏證券及/或任何凱敏證券附屬公司使用或轉移本公司的個人資料，作各種直接促銷用途。

## K. Standing Authority 常設授權

We confirm that we fully understand and agree to all terms and conditions of this Standing Authority as follows.  
吾等確認吾等完全明白及同意本常設授權的所有條款及細則。

### STANDING AUTHORITY GENERAL TERMS (FOR ALL TYPES OF ACCOUNTS) 常設授權通用條款 (適用於所有賬戶)

Unless otherwise specified, any term in this Standing Authority shall have the same meaning as defined and amended in the Securities and Futures Ordinance (Cap 571), Securities and Futures (Client Money) Rules and Securities and Futures (Client Securities) Rules from time to time.  
除文義另有所指外，於本常設授權書內的任何名詞，與《證券及期貨條例》(第571章)、《證券及期貨(客戶款項)規則》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。

The Standing Authority is valid for a period of 12 months from the date hereof, subject to renewal by our or deemed renewal under the Client Money Rules or Client Securities Rules (as the case may be).

按照由客戶續期或根據客戶款項規則或客戶證券規則(視乎情況而定)當作已被續期所制約下，本常設授權書的有效期為十二(12)個月，自本常設授權書之簽發日起計有效。

We understand that we may revoke this Standing Authority by giving written notice to HSL at the above address. The effective date of the revocation shall be 30 days from the date of HSL's receipt of the written notice.

吾等明白吾等可以以書面形式向凱敏證券於上述所列明之地址發出通知，撤回本授權書。撤回本授權書之生效日期為凱敏證券收到該通知後起計三十(30)天。

We understand that a notice of renewal of the Standing Authority shall be sent to us at least 14 days prior to its expiry. If HSL does not receive a letter of objection to the renewal of the Standing Authority prior to its expiry, we shall be deemed to have agreed to renew the Standing Authority for a period of 12 months upon the terms and conditions as specified in the Standing Authority.

吾等明白常設授權續期通知書將於常設授權屆滿前最少十四天寄予吾等。如凱敏證券於常設授權有效期屆滿前未有接獲吾等書面反對，則吾等之常設授權會在屆滿時按照常設授權的條款及細則視作為同意續期十二個月。

This Standing Authority shall remain effective until the expiration date or until the Standing Authority is revoked by us, whichever is earlier.  
除非本常設授權書到期或於到期前被撤回(以較早者為準)，否則本常設授權書保持有效。

We understand and agree that HSL has the rights to suspend our account(s) held with HSL and request us to provide more information if there are any abnormal or suspicious activities in our account(s).

吾等明白及同意，若吾等的賬戶有任何不尋常或可疑活動，凱敏證券有權凍結吾等的賬戶並要求吾等的賬戶提供更多資料。

We confirm that this Standing Authority has been explained to us and we fully understand the contents of this Standing Authority and have sought, or have had the opportunity to seek, legal advice concerning its contents and effect.

吾等確認凱敏證券已向吾等解釋本常設授權書，吾等完全明白本常設授權書的內容，並已經或有機會就其內容及效力尋求法律顧問的意見。

We agree that HSL may contact us via telephone or e-mail from time to time, for the purpose of improving client communication and delivering better quality customer service.

吾等同意凱敏證券可以不時以電話或電郵聯絡吾等，以改善客戶溝通及提供更優質客戶服務為目的。

We understand that, in the event of any discrepancy between the English and Chinese version, the English version shall prevail.

吾等明白，倘若中文版本與英文版本在解釋或意義方面有任何歧義，應以英文版本為準。

**STANDING AUTHORITY UNDER THE SECURITIES AND FUTURES (CLIENT MONEY) RULES (FOR ALL TYPES OF ACCOUNTS)**  
**證券及期貨（客戶款項）規則規定的常設授權（適用於所有賬戶）**

Unless otherwise specified, any term in this Standing Authority shall have the same meaning as defined and amended in the Securities and Futures Ordinance (Cap 571), Securities and Futures (Client Money) Rules and Securities and Futures (Client Securities) Rules from time to time.

除文義另有所指外，於本常設授權書內的任何名詞，與《證券及期貨條例》(第571章)、《證券及期貨（客戶款項）規則》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。

This Standing Authority covers money held or received by HSL in Hong Kong and overseas (including any interest derived from the holding of the money which does not belong to HSL) in one or more segregated account(s) on our behalf ("Monies"). We hereby authorize HSL to handle the Monies on our behalf. 本常設授權是涵蓋凱敏證券為吾等在香港以及海外收取或持有並存放於一個或多個獨立賬戶內之款項（包括因持有並非屬於凱敏證券之款項而產生之任何利息）（下稱「款項」）。吾等茲授權凱敏證券處理此等款項。

Regarding the Monies held or received by HSL in Hong Kong, we hereby further authorize HSL to:-

就凱敏證券為吾等在香港收取或持有的款項，吾等進一步授權凱敏證券：-

1. Combine or consolidate any or all segregated accounts, of any nature whatsoever and either individually or jointly with others, maintained by HSL from time to time, and HSL may transfer any sum of Monies to and between such segregated account(s) to satisfy our obligations or liabilities to HSL, whether such obligations and liabilities are actual or contingent, primary or collateral, secured or unsecured, joint or several; and  
組合或合併凱敏證券所維持的任何性質的任何或全部獨立賬戶，此等組合或合併活動可以個別地或與其他賬戶聯合進行，凱敏證券可將該等獨立賬戶內任何數額之款項作出轉移，以解除吾等對凱敏證券的義務或法律責任，不論此等義務和法律責任是確實或或然的、原有或附帶的、有抵押或無抵押的、共同或分別的；及
2. Set-off or transfer any sum of Monies interchangeably between any of the segregated accounts maintained at any time by HSL towards satisfaction of any of our liabilities to HSL; and  
凱敏證券可將款項的任何款額任何時間維持的獨立賬戶之間轉入轉出以結清吾等對凱敏證券負有的債務；及
3. Exchange our Monies into any other currency(ies) at the rate of exchange conclusively determined by HSL.  
可將賬戶內的款項以凱敏證券最終確定的匯率兌換成任何其他貨幣。

Regarding the Monies held or received by HSL overseas, we hereby further authorize HSL to:-

就凱敏證券為吾等在海外收取或持有的款項，吾等進一步授權凱敏證券：-

1. Use all or part of the Monies at its discretion without prior notice, confirmation and/or instructions for the purposes of sale and purchase of overseas securities and/or compliance with settlement and/or deposit requirements; and/or  
本常設授權書授權凱敏證券不需事先通知或取得的確認及/或指示可酌情動用款項的全部或部份作買賣海外證券之用、符合交收或按金要求及其他用途；及/或
2. Pay/transfer any sum of Monies to our securities account held with HSL, the futures account(s) of any overseas financial institution(s) and/or overseas clearing firm(s) and their successors for the purpose of trading or meeting the settlement or margin requirement (if applicable) of our overseas securities transactions;  
將任何數額之款項支付/轉往吾等於凱敏證券的賬戶及/或任何海外金融機構及/或結算公司的期貨賬戶及其繼承人及受讓人以作吾等買賣海外證券之用或符合交收或按金的要求（如適用）；及/或
3. Transfer the Monies interchangeably between the segregated account(s) opened and maintained by HSL in Hong Kong and the segregated account(s) opened and maintained by HSL with any overseas financial institution(s) and/or overseas clearing firm(s) outside Hong Kong; and/or  
從凱敏證券在香港或其他地方設立之一或多個獨立賬戶及在任何海外金融機構及/或結算公司設立之獨立賬戶或於該等賬戶之間來回調動；及/或
4. Enter into foreign exchange contracts necessary to facilitate the purchase or meet the settlement or margin requirement (if applicable) of the overseas securities on or before the date when the Monies are required to be converted into other currencies for payment at market rates in accordance with HSL's normal practice. HSL has sole discretion to decide the content of the foreign exchange contracts including but not limited to the timing.  
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，此等兌換合約按凱敏證券慣例並以市場匯率訂立。外幣兌換合約的內容（包括但不限於訂約時間）由凱敏證券全權決定。

We understand that HSL can take any of the above actions without giving notice to us.

凱敏證券可以不向吾等發出通知而採取上述行動。

We understand that this Standing Authority is given to HSL in consideration of HSL's agreement in opening and continuous maintaining Securities Cash/Margin Trading Account for us with HSL.

吾等明白本常設授權乃鑑於凱敏證券同意開立及繼續維持吾等的證券現金/融資交易賬戶。

We understand this Standing Authority is given without prejudice to other authorities or rights which HSL may have in relation to dealing in Monies in the segregated accounts.

吾等明白吾等的證券可能受制於第三者之權利，凱敏證券可於全數抵償該等權利後，方將吾等的證券退回給吾等。

We acknowledge and confirm that my/our assets (including the Monies) received or held by HSL overseas are subject to 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 our assets received or held in Hong Kong.

吾等確認，凱敏證券在香港以外地方收取或持有的吾等的資產，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，有關資產有可能不會享有賦予吾等在香港收取或持有的資產的相同保障。

**(This paragraph is only applicable to margin accounts.)** When we do not have any cash balance in our account at HSL, and we, through our account, trade on margin and withdraw funds to meet the deposit and/or settlement requirements of other accounts, we may face additional risks and costs, including market risk, margin trading risk and any additional interest costs.

(本段只適用於證券融資賬戶) 當吾等在凱敏證券的賬戶沒有現金結餘時，若透過吾等的賬戶進行股票孖展貸款，提取資金以滿足其他戶口的按金或交收要求，吾等將面對額外的風險與成本，包括市場風險、保證金交易風險等和需要承擔額外的利息成本。

**STANDING AUTHORITY UNDER THE SECURITIES AND FUTURES (CLIENT SECURITIES) RULES (FOR SECURITIES MARGIN TRADING ACCOUNTS ONLY)**

**證券及期貨(客戶證券)規則規定的常設授權(只適用於證券融資賬戶)**

We confirm that we fully understand the contents of this Standing Authority and we further confirm that our authorization to HSL to deal with all the securities in the Securities Margin Account to be opened with HSL. We confirm to authorize HSL to:-

吾等確認吾等完全明白本常設授權的內容，並且吾等進一步確認吾等授權凱敏證券處理在凱敏證券處即將開立的證券融資賬戶中所有證券。吾等確認吾等授權凱敏證券:-

1. Use our securities or securities collateral in accordance with the securities borrowing and lending agreement;  
根據證券借貸協議，運用吾等的任何證券或證券抵押品；
2. Deposit any of our securities collateral in any recognized financial institution as collateral for financial accommodation provided to HSL;  
把／吾等的任何證券抵押品存放於任何認可財務機構，作為該機構向凱敏證券提供財務通融的抵押品；
3. Deposit any of our securities collateral to Hong Kong Securities Clearing Company Limited ("HKSCC") to discharge and fulfill our liquidation obligations and liabilities. We understand that HKSCC, in light of HSL's liability and obligations, sets our securities as the first fixed charge;  
將吾等的任何證券抵押品存放給香港中央結算有限公司(下稱「香港結算」)，用作履行及清償吾等的清算責任和債務。吾等明白香港結算因應凱敏證券承擔的義務對吾等的證券設定第一固定押記；
4. Deposit any of our securities collateral to any other recognized clearing house or any other registered and licensed intermediary which conducts securities transactions as a collateral to discharge and satisfy HSL's settlement obligations and liabilities;  
將吾等的任何證券抵押品存放給任何其他認可結算所或者其他有獲發牌或獲註冊進行證券交易的中介人，作為解除凱敏證券在交收上的法律責任的抵押品；以及
5. If HSL provides financial accommodation to us during the course of the securities transaction and any other approved or registered regulated activities, HSL may conduct actions stated in (1), (2), (3) and/or (4) above to transfer or store any of our securities collateral as described in the paragraph.  
若凱敏證券在證券交易過程中以及任何其它已經獲發牌或已獲註冊的受規管活動過程中，向吾等提供財務通融，可根據上述第(1)、(2)、(3)和／或(4)段所述調動或存放吾等的任何證券抵押品。

We understand that HSL can take any of the above actions without giving notice to us.

凱敏證券可以不向吾等發出通知而採取上述行動。

We understand that this Standing Authority does not affect HSL's right to dispose of our securities collateral for the purposes of discharging our legal obligations or liability to HSL or any other third party.

吾等明白本授權書不影響凱敏證券為解除由吾等對凱敏證券或第三者所負的法律責任，而處置或促使凱敏證券處置吾等證券抵押品的權利。

This Standing Authority is issued to HSL in view of HSL's agreement to continue to maintain our securities margin account.

此賦予凱敏證券之授權乃鑒於凱敏證券同意繼續維持吾等之證券融資賬戶戶口。

**L. Consent to be Treated as an "Institutional Professional Investor" 同意被視為「機構專業投資者」**

We hereby confirm, declare and undertake that:

吾等謹此確認、聲明及承諾：

We have satisfied the requirements of being classified as an "Institutional Professional Investor" under paragraphs (a) to (i) of section 1 of Part 1 of Schedule 1 to the Securities and Futures Ordinance (Cap. 571) and paragraph 15.2 of Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission ("Code of Conduct") and we will provide / have provided HSL with the relevant supporting documents as proof of our fulfilment of the requirements.

吾等符合《證券及期貨條例》(第571章)附表1第1部第1條第(a)到第(i)段及證券及期貨事務監察委員會持牌人或註冊人操守準則(「操作準則」)第15.2段裡對「機構專業投資者」的分類所描述的條件，並會／已向凱敏證券提供有關證明文件以證明吾等符合該條件。

We agree to be treated as an "Institutional Professional Investor".

吾等同意被視為機構專業投資者。

We acknowledge that HSL, as a licensed corporation registered with the Securities and Futures Commission("SFC"), is ordinarily required to comply with the relevant rules set out in the Code of Conduct in the provision of services to us. However, in accordance with paragraphs 15.4 and 15.5 of the Code of Conduct and our consent to be treated as an "Institutional Professional Investor", we understand that HSL is exempted from complying with certain requirements as follows:-

吾等明白凱敏證券，作為證券及期貨事務監察委員會(「證監會」)的持牌法團，在提供服務予吾等時，一般需遵守操作準則裡的有關的規則。然而，基於操作準則第15.4及第15.5段，以及吾等同意被視為機構專業投資者的情況下，吾等明白凱敏證券可獲豁免遵守操作準則中一些與業務操守有關的特定規則如下：

(1) Information about Clients

有關客戶的資料

HSL is not required to:

凱敏證券無須：

- (a) establish our financial situation, investment experience and investment objectives;

- 確立吾等的財務狀況、投資經驗及投資目標；
- (b) ensure the suitability of any recommendation or solicitation; and  
確保所作出的建議或招攬行為是合適的；及
- (c) assess our knowledge of derivatives and characterise us based on our knowledge of derivatives.  
評估吾等對衍生工具的認識，並根據吾等對衍生工具的認識將客戶分類。

(2) Client Agreement and Risk Disclosure Statements

客戶協議及風險披露聲明

HSL is not required to enter into a written agreement with us nor provide us with the relevant risk disclosure statements.

凱敏證券無須訂立協議書及提供相關的風險披露聲明。

(3) Information for Clients

為客戶提供資料

HSL is not required to:

凱敏證券無須：

- (a) disclose transaction related information;  
披露與交易相關的資料
- (b) provide us with information about HSL and its business, and the identity and status of HSL's employees and others acting on behalf of HSL;  
向吾等提供有關凱敏證券和有關其僱員及其他代表其行事的人士的身分和受僱狀況的資料；
- (c) confirm promptly with us the essential features of a transaction after effecting a transaction for us; and  
為吾等完成交易後，盡快吾等確認有關該宗交易的重點；及
- (d) provide us with documentation on the Nasdaq-Amex Pilot Program.  
為吾等提供關於納斯達克－美國證券交易所試驗計劃的資料文件。

(4) Discretionary Account

委託賬戶

HSL is not required to:

凱敏證券無須：

- (a) obtain from us an authority in written form prior to effecting transactions for us without our specific authority;  
為吾等進行未經吾等特定授權的交易之前，先向吾等取得書面授權；
- (b) explain the authority described under paragraph 7.1(a)(ii) of the Code and confirm it on an annual basis; and  
解釋操作準則第 7.1(a)(ii) 段所述的授權，並每年確認該項授權一次；及
- (c) disclose benefits receivable for effecting transactions for us under a discretionary account.  
披露因應在委託賬戶下為吾等進行交易而可取得的收益。

(5) Complex Products

複雜產品

HSL is not required to ensure the suitability of a transaction in a complex product, provide sufficient information about a complex product and provide warning statements.

凱敏證券無須確保產品交易的合適性，提供有關複雜產品的充份資料及提供警告聲明。

We understand the potential risks and consequences of being treated as an Institutional Professional Investor by HSL.

吾等明白被凱敏證券視為機構專業投資者的潛在風險與後果。

We understand that certain information will not be provided to us when dealing with HSL.

吾等明白，當吾等與凱敏證券交易時，某些資料不會被提供。

We understand that certain services will not be provided by HSL.

吾等明白凱敏證券不會向吾等提供某些服務。

We understand that we have the right, at any time, to withdraw from being treated as an Institutional Professional Investor by giving written notice of no less than five (5) business days to HSL.

吾等明白吾等在任何時候均有權通過給予凱敏證券不少於五個工作天的書面通知撤回被視為機構專業投資者的資格。

We agree to inform HSL promptly if there is any change of status or circumstances which may render any declaration contained herein or any information provided untrue and/or inaccurate.

如有任何狀態或狀況更改而導致吾等提供予凱敏證券的資料或所述之聲明變為不實及／或不準確，吾等同意立即通知凱敏證券。

## M. Acknowledgement, Undertaking And Signature 確認、承諾及聲明

We hereby acknowledge and undertake that:

吾等謹此確認及承諾：

The information provided in this Account Opening Form is true, correct and complete, and we have not willfully withheld any material fact(s). We authorize HSL to confirm and verify the information from any source that HSL considers appropriate, including performing any credit checks on us. HSL is entitled to rely fully on such information and representations for all purposes, unless HSL receives notice in writing of any change. We confirm and undertake that we will notify HSL in writing on any changes within fourteen (14) days.

本開戶表格中所提供的資料均屬真實、完整及準確無訛，及吾等並未刻意隱瞞任何重要事實。吾等授權凱敏證券可向任何凱敏證券認為適當的資料來源確定和查證，包括進行任何對於吾等的信貸查證。除非凱敏證券收到任何資料改變的收書面通知，凱敏證券可完全依據這些資料及陳述，作任何用途。吾等確認及承諾，如所提供之資料有任何更改，均會於十四（14）天內以書面通知凱敏證券。

We have received, read and understood the terms and conditions of Client Agreement (Securities Trading Account), including but not limited to Margin Client Agreement (Securities Trading Account) and Personal Information Collection Statement (“the Agreement”) applicable to us. We apply to open the above type(s) of Account and agree to be bound by the terms and conditions of Agreement. HSL has the absolute right to change, amend, delete or substitute any terms and conditions of the Agreement from time to time by giving us such notice. Such changes, amendment, deletion or substitution shall be deemed as effective and incorporated therein (and shall form part of the Agreement) on the date of publication or issue of such notice. Unless HSL has received our request to close the Account(s), if we continue to use the Account(s), we shall be deemed to have accepted such change, amendment, deletion or substitution. 吾等已收取、閱讀及明白客戶協議書(證券交易賬戶)，包括但不限於融資客戶協議書及個人資料收集聲明（「協議書」）的條款及細則。吾等申請開立上述類別的賬戶，並同意及接納受協議書的條款及細則約束。凱敏證券有絕對酌情權不時修訂、更改、刪減或取代協議書的條款及細則，並向吾等發出通知。該修訂、更改、刪減或取代的條款及細則將於相關通知刊載之日起生效，並被視為納入協議書內。除非凱敏證券收到吾等取消賬戶通知，否則表示吾等接納該更改條款及細則。

We confirm that Risk Disclosure Statements as contained in the Agreement have been provided to us in the language of our choice (English and Chinese). We have been invited to read such Risk Disclosure Statements, ask questions relating thereto and seek any independent advice as we wish before signing this Account Opening Form. We further understand that the Risk Disclosure Statements do not purport to disclose or explain all the risks and other important aspects of trading in financial products concerned, and We have been advised not to engage in trading in financial products unless we understand the nature and risk of such financial products. We should carefully consider whether trading in the relevant financial products is appropriate for us in light of our investment objectives, experience, risk appetite and financial resources, and we are advised to seek independent and professional advice.

吾等確認已按照吾等所選擇語言（英文或中文）獲提供協議書的風險披露聲明，且已獲邀在簽署本開戶表格前，閱讀該風險披露聲明、提出問題及徵求獨立的意見（如吾等有此意願）。吾等進一步明白該風險披露聲明並未能披露或解釋涉及金融產品交易的所有風險或其他重要事項，除非吾等明白所進行金融產品交易之性質及其風險程度，吾等已被建議不應進行該金融產品的交易。吾等應根據其投資目標、經驗、風險承受能力、財政資源小心考慮進行相關金融產品之交易是否適合吾等，且吾等如有疑問應尋求獨立及專業的意見。

We acknowledge and confirm that we have carefully read and fully understood Clause 15 of the Agreement concerning Derivative Products, especially nature and risks of Derivative Products. We further confirm and declare that the licensed representative of HSL has fully explained Clause 15 of the Agreement to us in the plain language(s) of our choice. If we decide to trade in Derivative Products, we shall understand the nature and risks of Derivative Products and have sufficient net worth to assume the risks and bear the potential losses of trading in Derivative Products. HSL will not solicit or provide recommendations to us on trading in Derivative Products if we do not have any knowledge or experience in trading in Derivative Products.

吾等承認並確認，吾等已細閱及完全明白協議書內關於衍生產品的第15條條款，特別是衍生產品的性質及風險。吾等進一步確認凱敏證券的持牌代表已按照吾等所選擇的淺白語言向吾等詳細解釋協議書的第15條條款。假如吾等打算買賣衍生產品，吾等應明白衍生產品的性質及風險，並有足夠的淨資產來承擔因買賣衍生產品而可能招致的風險和損失。假如吾等並沒有衍生工具產品的任何知識或經驗，凱敏證券不會向吾等就衍生產品作出建議或招攬行為。

We assure that funds, cheques issued from our bank account(s), securities and/or collateral(s) is/are solely held by ourselves. HSL shall have the absolute discretion on whether to accept the deposit of such funds, cheques, securities and/or collateral(s) and shall not be liable for any penalty, debt, damages, costs, loss and expenses suffered and/or incurred.

吾等確保吾等對存入的款項、從吾等銀行賬戶發出的支票、證券及/或抵押品擁有其擁有權。凱敏證券有絕對酌情權決定是否接納該等吾等存入的款項、支票、證券及/或抵押品，並毋須承擔任何蒙受及/招致的罰款、債項、損害、賠償、費用、損失及開支。

According to the provision of Foreign Account Tax Compliance Act (“FATCA”), we give consent to HSL to report our corporate information to the U.S. Internal Revenue Service or other relevant tax authorities in order to comply with the FATCA. We understand and acknowledge that HSL may suffer loss or incur penalty and/or damage if the information provided in “Entity Self-Certification Form (FATCA and CRS)” (“the Entity Self-Certification Form”) is or proves to be incorrect, false or misleading when made. We agree to indemnify HSL on demand for such loss, penalty and/or damage. We further agree that we will notify HSL in writing within fourteen (14) days of any change of our U.S. tax status.

根據海外賬戶稅收合規法案（「FATCA」），吾等同意凱敏證券將吾等的個人資料匯報予美國國家稅務局或其他有關稅務當局，以遵從 FATCA。吾等知道及確認，倘若所載於「實體自我證明表格（海外賬戶稅收合規法案及共同匯報標準）」（「實體自我證明表格」）的資料是或被證明不正確、虛假或具誤導性，凱敏證券可能因此蒙受損失或招致刑罰及/或損害。吾等就所有該等損失、刑罰及/或損害對凱敏證券作出補償。吾等同意，倘若吾等的美國稅務狀況有任何改變，吾等於十四（14）天內以書面方式通知凱敏證券。

According to the Common Reporting Standard (“CRS”), “Tax Residents of Reportable Jurisdictions” refer to those who are liable to tax by reason of residence in the jurisdictions. In general, whether or not an individual is a tax resident of a jurisdiction is determined by the person’s physical presence or stay in a place (e.g. whether over 183 days within a tax year). HSL will request a self-certification and/or other relevant documentation in order to establish our tax residence for automatic exchange of account information purposes. If there is any change in circumstances that would affect our tax residence or HSL has reasonable cause(s) to believe that the self-certification is incorrect or unreliable, HSL reserves the right to request and we have the obligation to provide a new self-certification and/or additional documentation. As an account holder(s) of HSL, we shall be deemed to acknowledge that further information may need to be provided to HSL. HSL’s compliance with the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112) and/or guidance may result in gathering, storing, using, and processing our information. Our information may also be disclosed to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region, which is further exchanged with tax authorities of another jurisdiction or jurisdictions in which we may be resident for tax purposes. Where we fail to provide any requested information (regardless of the consequences), HSL reserves the right to take any action and/or pursue all remedies at its disposal including, without limitation to restriction or termination of our account(s). 根據共同匯報標準（「CRS」）的條文，「申報稅務管轄區的稅務居民」是指該些在相關稅務管轄區因其居民身分而有繳稅責任的人。一般而言，要斷定某人是否屬一個稅務管轄區的稅務居民，會根據該人身處之地或逗留於該地的時間（例如一個課稅年度超過183天）。凱敏證券要求吾等提供自我證明或其他文件以揭示吾等納稅所在地，以作自動交換賬戶資料用途。如吾等因任何情況而影響吾等的納稅所在地，或令凱敏證券有理由相信吾等之自我證明有不正確或不可靠時，凱敏證券保留權利可要求吾等遞交新的自我證明及/或額外文件。作為凱敏證券的賬戶持有人，吾等

承諾及同意向凱敏證券提供進一步的資料。凱敏證券為遵守香港《稅務條例》(第112章)有關交換財務賬戶資料的法律條文及/或指引,可能導致收集、儲存、使用及處理吾等的資料。吾等的資料亦可向香港特別行政區政府稅務局披露,從而把資料轉交到吾等的居留司法管轄區的稅務當局。如果吾等未能提供任何所要求的資料,凱敏證券保留採取任何補救措施的權利,包括(但不限於)限制及終止賬戶的運作。

We also agree to inform HSL in writing within fourteen (14) days upon any changes in the information provided in the Entity Self-Certification Form. We understand and acknowledge that HSL may suffer loss or incur penalty and/or damage if such information provided is or proves to be incorrect, false or misleading when made. We agree to indemnify HSL on demand for such loss, penalty and/or damage.

吾等同意,若吾等所載於實體自我證明表格內的資料有任何變更,會於十四(14)天內以書面通知凱敏證券。吾等知道及確認,倘若該等資料是或被證明是不正確、虛假或具誤導性,凱敏證券可能因此蒙受損失或招致刑罰及/或損害。吾等同意就所有該等損失、刑罰及/或損害對凱敏證券作出彌償。

We agree that HSL may contact us via telephone or e-mail from time to time, for the purpose of improving client communication and delivering better quality customer service.

吾等同意凱敏證券可以不時以電話或電郵聯絡吾等,以改善客戶溝通及提供更優質客戶服務為目的。

We understand and agree that HSL has the rights to suspend our account(s) held with HSL and request us to provide more information if there are any abnormal or suspicious activities in our account(s).

吾等明白及同意,若吾等的賬戶有任何不尋常或可疑活動,凱敏證券有權凍結吾等的賬戶並要求吾等的賬戶提供更多資料。

We understand that, in the event of any discrepancy between the English and Chinese version, the English version shall prevail.

吾等明白,倘若中文版本與英文版本在解釋或意義方面有任何歧義,應以英文版本為準。

### **M1. Hong Kong Investor Identification Regime and Over-the-counter Securities Transactions Reporting Regime – Consent Letter for Personal Data Processing 香港投資者識別碼制度及場外證券交易匯報制度– 個人資料使用同意**

I/We acknowledge that I/we have read and understand the content and understand the purpose of HSL obtaining consent from me/us of this Consent Letter, and I/we hereby agree to accept the terms of this Consent Letter and provide such consent to HSL.

本人/吾等確認已閱讀並明白本同意書的內容及明白取得同意的目的,本人/吾等並在此同意接受本同意書的條款及確認向凱敏證券提供該項同意。

I/we acknowledge and agree that HSL may collect, store, process, use, disclose and transfer personal data relating to me/us (including my/our CID and BCAN(s) \_\_\_\_\_) as required for HSL to provide services to me/us in relation to securities listed or traded on the Stock Exchange of Hong Kong (“SEHK”) and for complying with the rules and requirements of SEHK and the Securities and Futures Commission (“SFC”) in effect from time to time. Without limiting the foregoing, this includes –

本人/吾等明白並同意,凱敏證券為了向本人/吾等提供與在香港聯合交易所(下稱「聯交所」)上市或買賣的證券相關的服務,以及為了遵守不時生效的聯交所與證券及期貨事務監察委員會(下稱「證監會」)的規則和規定,凱敏證券可收集、儲存、處理、使用、披露及轉移與本人/吾等有關的個人資料(包括本人/吾等的客戶識別信息及券商客戶編碼\_\_\_\_\_)。在不限制以上的內容的前提下,當中包括 –

(a) disclosing and transferring my/our personal data (including CID and BCAN(s)) to SEHK and/or the SFC in accordance with the rules and requirements of SEHK and the SFC in effect from time to time;  
根據不時生效的聯交所及證監會規則和規定,向聯交所及/或證監會披露及轉移本人/吾等的個人資料(包括客戶識別信息及券商客戶編碼);

(b) allowing SEHK to 允許聯交所:-  
i. collect, store, process and use my/our personal data (including CID and BCAN(s)) for market surveillance and monitoring purposes and enforcement of the Rules of the Exchange of SEHK; and  
收集、儲存、處理及使用本人/吾等的個人資料(包括客戶識別信息及券商客戶編碼),以便監察和監管市場及執行《聯交所規則》;及  
ii. disclose and transfer such information to the relevant regulators and law enforcement agencies in Hong Kong (including, but not limited to, the SFC) so as to facilitate the performance of their statutory functions with respect to the Hong Kong financial markets; and  
向香港相關監管機構和執法機構(包括但不限於證監會)披露及轉移有關資料,以便他們就香港金融市場履行其法定職能;及  
iii. use such information for conducting analysis for the purposes of market oversight; and  
為監察市場目的而使用有關資料進行分析;及

(c) allowing the SFC to 允許證監會:-  
i. collect, store, process and use my/our personal data (including CID and BCAN(s)) for the performance of its statutory functions including monitoring, surveillance and enforcement functions with respect to the Hong Kong financial markets; and  
收集、儲存、處理及使用本人/吾等的個人資料(包括客戶識別信息及券商客戶編碼),以便其履行法定職能,包括對香港金融市場的監管、監察;及  
ii. disclose and transfer such information to the relevant regulators and law enforcement agencies in Hong Kong in accordance with applicable laws or regulatory requirements.  
根據適用法例或監管規定向香港相關監管機構和執法機構披露及轉移有關資料。

I/we also agree that despite any subsequent purported withdrawal of consent by me/us, my/our personal data may continue to be stored, processed, used, disclosed or transferred for the above purposes after such purported withdrawal of consent.

本人/吾等亦同意,即使本人/吾等其後宣稱撤回同意,凱敏證券在本人/吾等宣稱撤回同意後,仍可繼續儲存、處理、使用、披露或轉移本人/吾等的個人資料以作上述用途。

I/we also understand that for the avoidance of doubt, this Consent Letter shall be supplemental to, but not as substitute for, the Client’s Agreement.

本人/吾等亦明白,為避免疑義,本同意表格為對《客戶協議書》的補充,而非替代。

Failure to provide us with my/our personal data or consent as described above may mean that HSL will not, or will no longer be able to, as the case may be, carry out my/our trading instructions or provide me/us with securities related services (other than to sell, transfer out or withdraw my/our existing holdings of securities, if any).

本人/吾等如未能向凱敏證券提供個人資料或上述同意,可能意味著凱敏證券不會或不能夠再(視情況而定)執行本人/吾等的交易指示或向本人/吾等提供證券相關服務,惟出售、轉出或提取本人/吾等現有的證券持倉(如有)除外。

**Notes 備註:-**

The terms “BCAN” and “CID” used in this clause shall bear the meanings as defined in paragraph 5.6 of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission.

本條文所述的“券商客戶編碼”及“客戶識別信息”具有《證券及期貨事務監察委員會持牌人或註冊人操守準則》第5.6 段所界定的含義。

We confirm that we have read, fully, understand and agree to all terms and conditions contained hereinabove, in particular Section M.   
吾等確認吾等已閱讀、完全明白及同意以上所有 (由其是 M 部份的) 條款及細則。

We confirm that we have read, fully, understand and agree to all terms and conditions of the Standing Authority set out in Section K.   
吾等確認吾等已閱讀、完全明白及同意載於 K 部份常設授權的條款及細則。

Authorized Signature(s) with Company Chop

獲授權人士簽署及公司印章：

\_\_\_\_\_

Name of Authorized Signatory(ies)

獲授權簽署人士姓名：

\_\_\_\_\_

Date

日期：

\_\_\_\_\_

**N. Certification ( must be completed by Licensed/Registered Person or a Professional<sup>3</sup>)**

**核證 ( 由持牌代表/註冊人士或專業人士<sup>3</sup>填寫 )**

I, the undersigned, hereby certify that the signing of the Account Opening Form by the Client named in this Account Opening Form and the sighting of the related original supporting documents of the Client are executed in my presence on the date written in Section M of this Account Opening Form.

本人，下列簽署人仕，謹此證實，於開戶表格中的 M 部份所寫的日期當日，本人見證本開戶表格所指明的客戶的開戶表格的簽立及有關正本證明文件驗證均在本人面前執行。

Signed by Witness 見證人簽署

Full Name of Witness 見證人姓名

Position / Profession with Membership No. 職位 / 專業及會員編號

Date 日期

**O. Declaration by HSL Licensed Representative**

**凱敏證券持牌代表聲明**

I, the undersigned, hereby declare that I have (i) provided the Risk Disclosure Statements in the language of the Client's choice (English or Chinese), (ii) invited the Client to read such Risk Disclosure Statements, ask questions and take independent advice (if the Client wishes), and (iii) fully explained the contents of the Risk Disclosure Statements to the Client in the language which the Client understands.

本人，下列簽署人仕，謹此聲明，本人已按照客戶所選擇的語言 (英文或中文) 提供風險披露聲明；邀請客戶閱讀該風險披露聲明、提出問題及徵詢獨立意見 (如客戶有此意願)；及已按照客戶所理解的語言，向客戶完全解釋風險披露聲明的內容。

Signed by HSL Licensed Representative 凱敏證券持牌代表簽署

Full Name of HSL Licensed Representative 凱敏證券持牌代表姓名

CE No. 中央編號

Date 日期

<sup>3</sup> A professional includes a certified public accountant (practising), a lawyer, a notary public or a chartered secretary.

專業人士包括執業會計師、律師、公證人或特許秘書。

**For Internal Use Only 只供内部使用**

Account Information			
Trading Limit (HK\$)	Credit Limit (HK\$)	Annual Overdue Interest Rate (%)	
HKD Brokerage (%)	HKD Min. Commission	HKD Commission Rebate (%)	
USD Brokerage (%)	USD Min Commission	USD Commission Rebate (%)	
CNY Brokerage (%)	CNY Min Commission	CNY Commission Rebate (%)	
Remarks			
Account Approved and Accepted By HSL			
Documents checked by	Name	Signature	Date
Information input by	Name	Signature	Date
Information verified by	Name	Signature	Date
Account approved by	Name	Signature	Date