



## 公司帳戶開戶表格 Corporate Account Opening Form

經紀代號 AE Code		帳戶號碼 A/C No.																								
<b>1. 港股帳戶類別 (please "√" as appropriate 如適用請加 "√") Type of Hong Kong Securities Account</b>																										
<input type="checkbox"/> 現金帳戶 Cash Account										<input type="checkbox"/> 保證金帳戶 Margin Account																
<b>2. 其他增值服務 Other additional service</b>																										
<input type="checkbox"/> 互聯網交易服務 Internet Trading Service										<input type="checkbox"/> 美股及其他海外股票市場交易服務 U.S. and Overseas Stock Trading Service																
請替我/我們開立以上的帳戶，我/我們確實已審閱及明白本開戶申請表、有關協議書和風險披露聲明的內容，並同意接受協議書所約束。 Please open the above account for me/us, I/we hereby confirm that I/we have read and understood the contents of this Account Opening Form, the relevant Agreement(s) and the Risk Disclosure Statements and that I/we accept to be bound by the same.																										
<b>3. 客戶資料 Client Information</b>																										
公司名稱 Company Name		(英文 English)							(中文 Chinese)																	
公司註冊號碼 C.I. No									香港商業登記號碼 B.R. No. in H.K.																	
註冊日期 Date of Incorporation		/ /							註冊地點 Place of Incorporation																	
公司性質 Nature of Entity		<input type="checkbox"/> 獨資 Sole Proprietorship			<input type="checkbox"/> 上市公司 Public Listed Company				<input type="checkbox"/> 離岸公司 Off-shore Company						<input type="checkbox"/> 合夥 Partnership				<input type="checkbox"/> 私人有限公司 Private Limited Company				<input type="checkbox"/> 其他 Others: _____			
業務性質 Nature of Business																										
註冊地址 Registered Address																										
主要辦事處地址 Principal Business Address																										
通訊地址 Correspondence Address																										
公司電話號碼 Company Tel No.									傳真號碼 Fax No.																	
電郵地址 E-mail Address																										
戶口結單收取方式 Method of Account Statement Collection		<input type="checkbox"/> 郵遞 By Mail			<input type="checkbox"/> 註冊地址 Registered Address							<input type="checkbox"/> 通訊地址 Correspondence Address														
		<input type="checkbox"/> 電郵 By Email			<input type="checkbox"/> 辦事處地址 Business Address																					
指定銀行帳戶 Designated Bank Account		貨幣 Currency	銀行名稱 Name of Bank		帳戶名稱 Account Name				帳戶號碼 Account No.																	
		港幣 HKD	_____		_____				_____																	
		美元 USD	_____		_____				_____																	
		人民幣 CNY	_____		_____				_____																	
<b>4. 董事資料 Director(s) Information</b>																										
(1) 董事姓名 Director Name									國籍 Nationality																	
身份證/護照號碼 ID / Passport No.									出生日期 Date of Birth			電話號碼 Tel. No.														
地址 Address:																										
(2) 董事姓名 Director Name									國籍 Nationality																	
身份證/護照號碼 ID / Passport No.									出生日期 Date of Birth			電話號碼 Tel. No.														
地址 Address:																										
(3) 董事姓名 Director Name									國籍 Nationality																	
身份證/護照號碼 ID / Passport No.									出生日期 Date of Birth			電話號碼 Tel. No.														
地址 Address:																										



<b>5. 主要股東資料 Major Shareholder(s) Information (5%持股或以上 5% holding or above)</b>				
(1) 股東姓名 Shareholder Name				國籍 Nationality
身份證/護照號碼 ID / Passport No.		出生日期 Date of Birth	電話號碼 Tel. No.	
地址 Address:				
(2) 股東姓名 Shareholder Name				國籍 Nationality
身份證/護照號碼 ID / Passport No.		出生日期 Date of Birth	電話號碼 Tel. No.	
地址 Address:				
(3) 股東姓名 Shareholder Name				國籍 Nationality
身份證/護照號碼 ID / Passport No.		出生日期 Date of Birth	電話號碼 Tel. No.	
地址 Address:				
<b>6. 帳戶操作 Operation of the Account</b>				
1. 帳戶可由以下人士操作 The Account(s) may be operated by:				
<ul style="list-style-type: none"> <li>■ (如果以書面作出指示)由下列獲授權簽署人根據客戶的經核證董事會決議案所載的簽署安排操作(其簽名式樣載於其中); 或 (If the instructions in writing) The Authorized Signer(s) named below (whose specimen signature(s) is/are set out in the client's certified Board resolutions), in accordance with the signing arrangements set out in such certified Board resolutions; or</li> <li>■ (如果口頭作出指示)由下列交易代表根據客戶的經核證董事會決議案所載的安排操作。 (If the instructions are oral) The Trading Representative(s) named below in accordance with the operating arrangements set out in the client's certified Board resolutions.</li> </ul>				
簽署授權: 任何 _____ 位獲授權人單獨聯合簽署		Signing Instruction: Any _____ of the Authorized Signer(s) signing singly/jointly		
交易授權: 任何一位交易人員作出交易指示		Trading Authorization: Given by any one of the Trading Representative(s)		
2. 帳戶的獲授權簽署人是否與交易代表相同? <input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No				
Is/Are the Authorized Signer(s) same as the Trading Representative(s) for the Account(s)				
帳戶的獲授權簽署人 Authorized Signer(s) for the Account				
姓名 Name	1.	2.	3.	4.
身份證/護照號碼 ID / Passport No.				
聯絡電話 Contact No.				
授權人簽署 Authorized Person Signature				
帳戶的獲授權交易代表 Authorized Trading Representative(s) for the Account				
姓名 Name	1.	2.	3.	4.
身份證/護照號碼 ID / Passport No.				
聯絡電話 Contact No.				
授權人簽署 Authorized Person Signature				
<b>7. 財務狀況 Financial Background</b>				
收入來源 Source of Fund	根據最近的審計帳目於 _____ / _____ (日期) Based on latest audited accounts as at _____ / _____			
<input type="checkbox"/> 營運收入 Operational Income	除稅後盈利 Profit after Tax		資產淨值 Net Asset Worth	
<input type="checkbox"/> 投資收入 Investment income	<input type="checkbox"/> HKD\$0 – HK\$500,000		<input type="checkbox"/> <HK\$1M	
<input type="checkbox"/> 利息收入 Interest income	<input type="checkbox"/> HK\$500,000– HK\$1M		<input type="checkbox"/> HK\$1M – HK\$5M	
<input type="checkbox"/> 股東資金/合夥人注資 Funds from shareholder(s) / capital contributions from partners	<input type="checkbox"/> HK\$1M – HK\$5M		<input type="checkbox"/> HK\$5M – HK\$10M	
	<input type="checkbox"/> HK\$5M – HK\$10M		<input type="checkbox"/> HK\$10M – HK\$50M	



<input type="checkbox"/> 出售投資 Sale of investment	<input type="checkbox"/> >HK\$10M	<input type="checkbox"/> >HK\$50M
<input type="checkbox"/> 租金收入 Rental income	<input type="checkbox"/> 虧損 Loss HK\$ _____	
<input type="checkbox"/> 其他 Others: _____		

**8. 客戶投資經驗及目標 Client Investment Experience and Objective**

<b>投資經驗</b> <b>Investment Experience</b> <input type="checkbox"/> 沒有 Nil <input type="checkbox"/> 少於 1 年 < 1 year <input type="checkbox"/> 1 - 3 年 years <input type="checkbox"/> 3 - 5 年 years <input type="checkbox"/> 5 - 10 年 years <input type="checkbox"/> 10 年以上 >10 years	<b>曾投資/買賣的產品</b> <b>Investment Products</b> <input type="checkbox"/> 沒有 Nil <input type="checkbox"/> 股票 Stocks <input type="checkbox"/> 衍生權證/牛熊證 Warrants/CBBC <input type="checkbox"/> 期貨/期權 Futures/Options <input type="checkbox"/> 外匯/黃金 Forex/Bullion <input type="checkbox"/> 債券/基金 Bonds/Funds <input type="checkbox"/> 其他 Others: _____	<b>投資目標</b> <b>Investment Objectives</b> <input type="checkbox"/> 資本增值 Capital Appreciation <input type="checkbox"/> 股息回報 Dividend Yield <input type="checkbox"/> 對沖 Hedging <input type="checkbox"/> 投機 Speculation <input type="checkbox"/> 其他 Others: _____	<b>估計投資金額</b> <b>Estimated Investment Amount</b> <input type="checkbox"/> <HK\$200,000 <input type="checkbox"/> HK\$200,000 – HK\$1M <input type="checkbox"/> HK\$1M – HK\$3M <input type="checkbox"/> HK\$3M – HK\$10M <input type="checkbox"/> >HK\$10M
--	---	--	---

負責代表客戶作出投資決定的人士:

The person(s) who is/are responsible for making investment decisions for or on behalf of the Customer has/have:

- 並沒有衍生產品之認識  
 No knowledge of derivative product
- 已接受有關介紹一般衍生產品之性質及風險的培訓或課程 (例如學術機構或金融機構所提供之課程)  
 Undergone training or attended courses on derivative products that provide general knowledge of the nature and risks of derivatives (e.g. courses offered by academic or financial institutions)
- 擁有與衍生產品有關之工作經驗  
 Had working experience related to derivative products
- 有相關之交易經驗, 即我們於過去三年曾執行過五次或以上有關衍生產品之交易  
 Had relevant trading experience i.e. We have executed five or more transactions in derivative products within the past three years

**9. 身份聲明 Identity Declaration**

<input type="checkbox"/> 是* Yes	客戶是否作為代理人公司替第三者(最終實益擁有人/最終受益於交易及承擔風險人士/最終負責發出指示的人士)處理帳戶? Is the client acting as nominee company for a third party (the ultimate beneficial owner of this Account / person ultimately benefiting from the transactions and bearing the risk/ person ultimately responsible for originating instructions for the account)?
<input type="checkbox"/> 否 No	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 If yes*, details of the ultimate beneficial owner(s), including a beneficiary holding an interest through a nominee or trust, is/are 名稱 Name: _____ 身份證/護照號碼 ID/Passport No.: _____ 地址 Address: _____
<input type="checkbox"/> 是* Yes	客戶、其任何股東或董事、高級人員、合夥人、獲授權人士、最終負責就帳戶作出指示的人士或帳戶的實益擁有人(統稱為「有關人士」)是否證監會之持牌人或註冊人? Is the Client, any of its shareholders, or directors, senior officers, partners, authorized person(s), the person(s) ultimately responsible for giving instructions for the account or the beneficial owners of the account (collectively the "Relevant Person(s)") a Licensed or Registered Person of the Securities and Futures Commission of Hong Kong?
<input type="checkbox"/> 否 No	如是*, 請列出持牌人或註冊人的姓名: _____ If Yes*, please specify the name of the Licensed or Registered Person(s) _____ *請附上閣下僱主之開戶同意書 Please attach a consent letter of account opening from your employer
<input type="checkbox"/> 是* Yes	客戶或帳戶的有關人士是否有被委任為重要公職, 例如重要政客或高級政府官員、司法或軍事官員、國有企業高級行政人員及重要政黨幹事或其家人或有密切聯繫人士? Is the Client or any of the Relevant Persons politically exposed person ("PEP"), a person connected with PEP, senior government official or senior executive of a state-owned corporation?
<input type="checkbox"/> 否 No	如是, 請列出該有關人士之姓名 _____ If Yes, the name of the relevant person _____
<input type="checkbox"/> 是* Yes	客戶或帳戶的有關人士是否與佳兆業金融集團有限公司之董事或僱員有任何關係? Does the Client or any of the Relevant Persons have any relationship with the director(s) or employee(s) of Kaisa Financial Group Company Limited?
<input type="checkbox"/> 否 No	如是, 請列出該董事、職員或代表之姓名及閣下與此人之關係 _____ If Yes, the name of the director, employee or representative and relationship with him/her _____
<input type="checkbox"/> 是* Yes	客戶或帳戶的有關人士是否佳兆業金融集團有限公司的任何附屬公司的董事或僱員? Is the Client or any of the Relevant Persons of the Account(s) a director or an employee of any subsidiary of Kaisa Financial Group Company Limited?
<input type="checkbox"/> 否 No	如是, 請列出該董事、職員或代表之姓名 _____ If Yes, the name of the director, employee or representative _____

**10. 關連保證金帳戶資料 Related Margin Account(s) Information**

\*(保證金帳戶適用 For Margin Accounts Only)



<input type="checkbox"/> 是* Yes  <input type="checkbox"/> 否 No	<p>客戶是否屬於以下情況：(i) 客戶控制某一公司百分之三十五或以上的投票權，而該公司是佳兆業金融集團有限公司的保證金客戶，和/或(ii) 客戶為某一集團公司之一成員公司，而該成員公司是佳兆業金融集團有限公司的保證金客戶？</p> <p>Does the Client (i) control 35% or more of the voting rights of a company which is a margin client of Kaisa Financial Group Company Limited ("KFGCL") and/or (ii) belong to the same group of companies as another company which is a margin client of KFGCL?</p> <p>如是， If Yes, 有關公司名稱 name of relevant company(ies): _____</p>
--	--

**11. 稅務居民資料 Tax Residency**

**重要提示 Important Notes**

- 這是由帳戶持有人向申報財務機構提供的自我證明表格，以作自動交換財務帳戶資料用途。申報財務機構可把收集所得的資料交給稅務局，稅務局會將資料轉交到另一稅務管轄區的稅務當局。  
This is a self-certification form provided by an account holder to a reporting financial institution for the purpose of automatic exchange of financial account information. The data collected may be transmitted by the reporting financial institution to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.
- 如帳戶持有人的稅務居民身分有所改變，應盡快將所有變更通知申報財務機構。  
An account holder should report all changes in his/her tax residency status to the reporting financial institution.
- 除不適用或特別註明外，必須填寫這份表格所有部分。如這份表格上的空位不夠應用，可另紙填寫。在欄/部標有星號(\*)的項目為申報財務機構須向稅務局申報的資料。  
All parts of the form must be completed (unless not applicable or otherwise specified). If space provided is insufficient, continue on additional sheet(s). Information in fields/parts marked with an asterisk (\*) are required to be reported by the reporting financial institution to the Inland Revenue Department.

**第 1 部 實體帳戶持有人的身分識別資料 Part 1 Identification of Entity Account Holder**

(對於聯名帳戶或多人聯名帳戶，每名實體帳戶持有人須分別填寫一份表格)

(For joint or multiple account holders, complete a separate form for each entity account holder.)

*實體或分支機構的法定名稱 *Legal Name of Entity or Branch	
實體成立為法團或設立所在的稅務管轄區 Jurisdiction of Incorporation or Organization	
香港商業登記號碼 Hong Kong Business Registration Number	
現時營業地址 Current Business Address	_____ _____ *國家 *Country
通訊地址 Mailing Address (如通訊地址與現時營業地址不同，填寫此欄 Complete if different to the current business address)	_____ _____ *國家 *Country

**第 2 部 實體類別 Part 2 Entity Type**

在其中一個適當的方格內加上剔號，並提供有關資料

Tick one of the appropriate boxes and provide the relevant information.

<b>財務機構 Financial Institution</b>	<input type="checkbox"/> 託管機構、存款機構或指明保險公司 Custodial Institution, Depository Institution or Specified Insurance Company  <input type="checkbox"/> 投資實體，但不包括由另一財務機構管理(例如：擁有酌情權管理投資實體的資產)並位於非參與稅務管轄區的投资實體 Investment Entity, except an investment entity that is managed by another financial institution (e.g. with discretion to manage the entity's assets) and located in a non-participating jurisdiction
<b>主動非財務實體 Active NFE</b>	<input type="checkbox"/> 該非財務實體的股票經常在 _____ (一個具規模證券市場)進行買賣 NFE the stock of which is regularly traded on _____, which is an established securities market  <input type="checkbox"/> _____ 的有關連實體，該有關連實體的股票經常在 _____ (一個具規模證券市場)進行買賣 Related entity of _____, the stock of which is regularly traded on _____, which is an established securities market  <input type="checkbox"/> 政府實體、國際組織、中央銀行或由前述的實體全權擁有的其他實體 NFE is a governmental entity, an international organization, a central bank, or an entity wholly owned by one or more of the foregoing entities



	<input type="checkbox"/> 除上述以外的主動非財務實體(請說明 _____) Active NFE other than the above (Please specify _____)
<b>被動非財務實體</b> <b>Passive NFE</b>	<input type="checkbox"/> 位於非參與稅務管轄區並由另一財務機構管理的投資實體 Investment entity that is managed by another financial institution and located in a non-participating jurisdiction <input type="checkbox"/> 不屬主動非財務實體的非財務實體 NFE that is not an active NFE

**第 3 部 控權人(如實體帳戶持有人是被動非財務實體, 填寫此部)****Part 3 Controlling Persons (Complete this part if the entity account holder is a passive NFE)**

就帳戶持有人, 填寫所有控權人的姓名在列表內。就法人實體, 如行使控制權的並非自然人, 控權人會是該法人實體的高級管理人員。每名控權人須分別填寫一份自我證明表格—控權人。

Indicate the name of all controlling person(s) of the account holder in the table below. If no natural person exercises control over an entity which is a legal person, the controlling person will be the individual holding the position of senior managing official.

Complete Self-Certification Form – Controlling Person for each controlling person.

(1)	(5)
(2)	(6)
(3)	(7)
(4)	(8)

**第 4 部 居留司法管轄區及稅務編號或具有等同功能的識別編號 (以下簡稱「稅務編號」)****Part 4 Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent (“TIN”)**

提供以下資料, 列明 Complete the following table indicating:

- (a) 帳戶持有人的居留司法管轄區, 亦即帳戶持有人的稅務管轄區(香港包括在內)及  
the jurisdiction of residence (including Hong Kong) where the account holder is a resident for tax purposes and  
(b) 該居留司法管轄區發給帳戶持有人的稅務編號。列出所有居留司法管轄區。  
the account holder's TIN for each jurisdiction indicated. Indicate all jurisdictions of residence.

如帳戶持有人是香港稅務居民, 稅務編號是其香港身份證號碼。

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number.

如沒有提供稅務編號, 必須填寫合適的理由:

If a TIN is unavailable, provide the appropriate reason A, B or C:

# 理由 A - 帳戶持有人的居留司法管轄區並沒有向其居民發出稅務編號。

Reason A - The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.

理由 B - 帳戶持有人不能取得稅務編號。如選取這一理由, 解釋帳戶持有人不能取得稅務編號的原因。

Reason B - The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN if you have selected this reason.

理由 C - 帳戶持有人毋須提供稅務編號。居留司法管轄區的主管機關不需要帳戶持有人披露稅務編號。

Reason C - TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.

居留司法管轄區 Jurisdiction of Residence	*稅務編號 TIN	# 如沒有提供稅務編號, 填寫理由 A、B 或 C # Enter Reason A, B or C if no TIN is available	如選取理由 B, 解釋帳戶持有人 不能取得稅務編號的原因 Explain why the account holder is unable to obtain a TIN if you have selected Reason B

**第 5 部 聲明及簽署 Part 5 Declarations and Signature**

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。

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by the financial institution for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the account holder and any reportable account(s) may be reported by the financial institution 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 account holder 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).

本人證明, 就與本表格所有相關的帳戶, 本人獲帳戶持有人授權簽署本表格。

I certify that I am authorized to sign for the account holder of all the account(s) to which this form relates

本人承諾, 如情況有所改變, 以致影響本表格所述的個人的稅務居民身分, 或引致本表格所載的資料不正確, 本人會通知佳兆業金融集團有限公司並會在情況發生改變後 30 日內, 向佳兆業金融集團有限公司提交一份已適當更新的自我證明表格。

I undertake to advise Kaisa Financial Group Company Limited of any change in circumstances which affects the tax residency status of the individual identified in this form or causes the information contained herein to become incorrect, and to provide Kaisa Financial Group Company Limited with a suitably updated self-certification form within 30 days of such change in circumstances.

本人聲明就本人所知所信, 本表格內所填報的所有資料和聲明均屬真實、正確和完備。

I declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete.

帳戶持有人簽署 Account Holder's Signature

身分 Capacity: \_\_\_\_\_

(例如: 公司的董事或高級人員、合夥的合夥人、信託的受託人等)

日期 Date:



姓名 Name:

e.g. director or officer of a company, partner of a partnership, trustee of a trust etc.)

\*警告：根據《稅務條例》第 80(2E)條，如任何人在作出自我證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。一經定罪，可處第 3 級（即\$10,000）罰款。

\*WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. \$10,000).

**12. 董事會決議 Board Resolutions**

(客戶名稱)(下稱「本公司」)於 \_\_\_\_\_ (日期)  
 在 \_\_\_\_\_ (地址)舉行的公司董事會(下稱「董事會」)所通過決議之核證真實摘要。  
 \_\_\_\_\_ (Name of Client) (the "Company") certified true  
 extracts of resolutions passed by the board (the "Board") of directors (the "Director") of the Company on \_\_\_\_\_ (Date)  
 held at \_\_\_\_\_ (Address).

**於佳兆業金融集團有限公司開立帳戶****Opening Account(s) with Kaisa Financial Group Company Limited**

本人 / 吾等確認，下述為本公司在正式召集的董事會上，有效地通過並接納的決議的真實副本，而該董事會議有足夠法定人數出席；按照本公司章程規定並載入本公司之會議記錄冊內，而該決議案未有被修訂，並且正全面生效及有效。

I/We hereby certify that the following is a true and correct copy of the resolutions validly passed and adopted by the Board at a duly convened meeting of the Company at which a quorum was present and acted throughout in accordance with the Articles of the Company and have been duly recorded in the Minutes Book of the Company without amendment and that the same are now in full force and effect.

**董事會決議案通過：****It was resolved:**

- (申請開立帳戶) 於佳兆業金融集團有限公司開立以下的證券帳戶(「帳戶」)是對本公司有利的，並批准、確認及追認該等證券帳戶開立的申請：  
 (Application for Account(s)) THAT it is in the interest and to the benefit of the Company to open the following securities account with Kaisa Financial Group Company Limited (each an "Account" and collectively the "Accounts") and the application for the opening of the Account(s) be and are hereby approved, confirmed and ratified:  
 (請在適用處打 "✓" please "✓" as appropriate)  
 Securities Cash Account 證券現金帳戶  
 Securities Margin Account 證券保證金帳戶
- (申請文件) 批准、確認及追認關於帳戶的客戶協議、公司帳戶開立表格、客戶資料表及其他有關或附帶的補充文件（統稱為「該協議」）所載的內容和條款及條件（上述文件的現行版本均已提供予各董事考慮）：  
 (Application Documents) THAT the contents and terms and conditions of the Client Agreement, the Corporate Account Opening Form, the Customer Information Form and other related or incidental supplementary documents relating to the Account(s) (collectively the "Agreement"), the current versions of which have been provided to each Director for consideration, be and are hereby approved, confirmed and ratified;
- (文件簽署及交付) 授權任何 \_\_\_\_\_ 位(填上數字)董事 [或 \_\_\_\_\_ (填上獲授權代表姓名)\*]簽署及交付該協議及其他與開立帳戶相關的文件(及如相關及必要的話，在文件上附加法團印章)，並可按其認為合適的方式對之修改(其簽署構成該等修訂之批准)，及為開立帳戶的目的作出任何必要的行動：  
 (Execution and Delivery) THAT any \_\_\_\_\_ (insert number) Director(s) [or \_\_\_\_\_ (insert name of Authorized signatory\*)] be and is(are) hereby Authorized to sign, execute and deliver (including where relevant and necessary to affix the common seal of the Company to) the Agreement and such other ancillary documents relating to the opening of the Account(s) with such amendments which he/she/they may deem fit (and his/her/their signature(s) constitute(s) approval of any such amendments), and to take such necessary actions and do such things for and on behalf of the Company, for the purpose of opening such Account(s);
- (獲授權簽署人)批准、確認及追認委任附件 A 中所列的人士，作為可代表本公司操作帳戶的獲授權簽署人(該等人士與在該協議中所載的相同)：  
 (Authorized Signers) THAT the appointment(s) of the Authorized signer(s) in relation to the operation of each Account for and on behalf of the Company and as set out in Annex A hereto (which is(are) the same as those set out in the Agreement) be and is(are) hereby approved, confirmed and ratified;
- (帳戶交易代表) 批准、確認及追認委任附件 B 中所列的人士，作為可代表本公司為帳戶交易發出指令及/或交易指示的帳戶交易代表(該等人士與在該協議中所載的相同)：  
 (Trading Representatives) THAT the appointment(s) of the trading representative(s) for the giving of orders and/or trading instructions in respect of the transactions under each Account for and on behalf of the Company and as set out in Annex B hereto (which is(are) the same as those set out in the Agreement) be and is(are) hereby approved, confirmed and ratified;
- 批准、確認及追認代表本公司就申請開立帳戶所採取的、且並無與上述決議案不符的所有之前的行動。  
 (Prior Actions) All prior action taken for and on behalf of the Company in relation to the application for the opening of the Account(s), in so far as the same are not inconsistent and do not conflict with the above resolutions, be approved confirmed and ratified.

**由以下人士簽署 Signed by**

(如只有一位董事，則該名董事)

(If there is only one director, the sole director)

(如有多於一名董事，則其中 2 位董事)

(If there are more than one director, at least two directors)



董事姓名 Name of Director

董事姓名 Name of Director

日期 Date: \_\_\_\_\_

**附件 A Annex A**

**獲授權簽署人 Authorized Signatories**

證券現金帳戶 Securities Cash Account

(1) 簽名樣式 Specimen signature: \_\_\_\_\_

(2) 簽名樣式 Specimen signature: \_\_\_\_\_

(3) 簽名樣式 Specimen signature: \_\_\_\_\_

姓名 Name: \_\_\_\_\_

姓名 Name: \_\_\_\_\_

姓名 Name: \_\_\_\_\_

證券保證金帳戶 Securities Margin Account

(1) 簽名樣式 Specimen signature: \_\_\_\_\_

(2) 簽名樣式 Specimen signature: \_\_\_\_\_

(3) 簽名樣式 Specimen signature: \_\_\_\_\_

姓名 Name: \_\_\_\_\_

姓名 Name: \_\_\_\_\_

姓名 Name: \_\_\_\_\_

**附件 B Annex B**

**帳戶交易代表 Trading Representatives**

證券現金帳戶 Securities Cash Account

(1) 簽名樣式 Specimen signature: \_\_\_\_\_

(2) 簽名樣式 Specimen signature: \_\_\_\_\_

(3) 簽名樣式 Specimen signature: \_\_\_\_\_

姓名 Name: \_\_\_\_\_

姓名 Name: \_\_\_\_\_

姓名 Name: \_\_\_\_\_

證券保證金帳戶 Securities Margin Account

(1) 簽名樣式 Specimen signature: \_\_\_\_\_

(2) 簽名樣式 Specimen signature: \_\_\_\_\_

(3) 簽名樣式 Specimen signature: \_\_\_\_\_

姓名 Name: \_\_\_\_\_

姓名 Name: \_\_\_\_\_

姓名 Name: \_\_\_\_\_

**13. 聲明及確認 Declarations & Acknowledgements**

本人/我們聲明、承認、確認並同意：

I/We declare, acknowledge, confirm and agree that:

1. 本開戶申請表所載的數據和陳述乃真實、完整及正確，除非佳兆業金融集團有限公司接獲我們發出關於任何變更的書面通知，否則佳兆業金融集團有限公司有權就一切目的全面信賴該等數據及陳述。佳兆業金融集團有限公司獲授權隨時聯絡任何人士，包括銀行或任何信用調查機構，以查核此公司帳戶開戶表格所提供之數據。  
The information and representations contained in this Corporate Account Opening Form are true, complete and correct, and that Kaisa Financial Group Company Limited is entitled to rely fully on such information and representations for all purposes, unless and until Kaisa Financial Group Company Limited receives notice in writing from us of any change. Kaisa Financial Group Company Limited is authorized at any time to contact anyone, including banks, or any credit agency, for purposes of verifying the information provided on this Corporate Account Opening Form.
2. 佳兆業金融集團有限公司提供的帳戶及投資管理服務，均須受本公司帳戶開戶表格並受佳兆業金融集團有限公司不時修訂的客戶協議的條款及細則（合稱「協議書」）所約束。本人/我們確認本人/我們已閱讀和明白協議書，並同意受協議書目前所列的條款及條件所約束。除非上下文另有規定，否則客戶協議所使用和定義的詞語在用於本開戶申請表時具有相同意義。  
The Account(s) and the provision of investment advisory service by Kaisa Financial Group Company Limited are subject to this Corporate Account Opening Form and the Terms and Conditions of the Client Agreement as amended by Kaisa Financial Group Company Limited from time to time (together the "Agreement"). I/We confirm that I/we have read and understood the Agreement and agree to be bound by, the terms and conditions as currently set forth in the Agreement. Unless the context requires otherwise, terms and expressions used and defined in the Client Agreement shall have the same meaning when used herein.
3. 本人/我們在協議書的期限內不會對帳戶的整體或任何部分設置任何押記、質押或產權負擔。  
I/We will not create any charge, pledge or encumbrance over the whole or any part of the Account(s) during the term of the Agreement.
4. 本人/我們已收到一份按本人/我們選擇的語言（英文或中文）的客戶協議及風險披露聲明，且本人/我們確認已閱讀及完全明白客戶協議以及風險披露聲明，並獲邀請提出問題及諮詢獨立意見（如本人/我們有此意願）。  
I/We have received a copy of the Client Agreement and the Risk Disclosure Statements in the language of my/our choice (English or Chinese), and I/we confirm that I/We have read and fully understood the Client Agreement and the Risk Disclosure Statements and have been invited to ask questions and take independent advice if I/we wish.
5. 本人/我們已仔細考慮風險披露聲明，而且瞭解進行投資產品買賣所涉及之高風險。本人/我們已考慮到本人/我們的財務狀況和投資目標，並確認本人/我們之財政能承擔該交易帶來之風險和承受其帶來之任何損失，亦自願確認投資產品買賣是一項對本人/我們合適的買賣方式。  
I/We have carefully considered the Risk Disclosure Statements and recognize that trading in investment products involves a high degree of risk. I have considered my/our financial position and investment objectives, I/we confirm that I/we am/are financially able to assume such risks and to sustain any losses resulting from such trading and voluntarily confirm that trading in investment products is a suitable trading vehicle for me/ us.
6. 倘若帳戶為聯名帳戶，我們聲明和確認每名簽署這份公司帳戶開戶表格的客戶（各稱為「聯名擁有人」）可就帳戶作出指示並與佳兆業金融集團有限公司進行交易，無須通知其他聯名擁有人，猶如彼為帳戶的唯一擁有人。  
Where the Account is a joint account, we declare and confirm that each Person signing this Corporate Account Opening Form (each a "joint owner") may give Instructions, in respect of the Account and to deal with Kaisa Financial Group Company Limited as if each Client alone was the sole owner of the Account without notice to the other joint owner(s).
7. 本人/我們知悉及確認本人/我們必須(i) 遵守因本人/我們簽訂協議書及根據該協議書進行的任何交易而可能產生的任何稅務後果；及(ii) 遵從不時有效的所有適用法律和規例，包括根據本人/我們居住的或居籍所在的或身為其公民的司法管轄區的法律之下與購買、持有及沽售證券或有關合約的資產相關的任何法律規定及外匯限制或管制規定。  
I/We acknowledge and confirm that I/we must (i) observe any possible tax consequences arising from my/our entering into the Agreement and any transactions entered pursuant thereto; and (ii) comply with all applicable laws and regulations in force from time to time including any legal requirements and foreign exchange restrictions or exchange control requirements which are relevant to the purchase, holding or disposal of securities or assets underlying the contract under the laws of the jurisdiction in which I/we reside, am/are domiciled or am/are a citizen.
8. 本人/我們確認佳兆業金融集團有限公司並不提供投資、稅務或法律意見或建議。  
I/ We acknowledge that Kaisa Financial Group Company Limited does not provide investment, tax or legal advice or recommendations.
9. **常設授權 Standing Authority** **\*(常設授權只為申請保證金帳戶用 For clients applying for Securities (Margin) Account only)**
  - i. 本人/我們同意並授權佳兆業金融集團有限公司及其有聯繫實體（按《證券及期貨條例》附表1第1部之有關定義）可於佳兆業金融集團有限公司接受本人/我們簽署本開戶書當天開始直至及包括隨後十一個月份的最後一天的期間內，以下列一種或多於一種方式處理不時由佳兆業金融集團有限公司或其任何有聯繫實體代本人/我們購入或持有的證券及證券抵押品，毋須進一步通知本人/我們或得到本人/我們的同意。  
I/We hereby authorize Kaisa Financial Group Company Limited and each associated entity (as defined in Part 1 of Schedule 1 to the Securities and Futures Ordinance) of Kaisa Financial Group Company Limited for a period commencing from the date of me/us signing this Account Opening Form up to and including the last day of the eleventh (11th) month next after the date hereof to deal with my/our securities and securities collateral from time to time purchased or held by Kaisa Financial Group Company Limited or any associated entity on my/our behalf in one or more of the following ways without further notice to or consent from me/us:





- 依據證券借貸協議運用任何有關證券或證券抵押品；  
to apply any of my/our securities or securities collateral to a securities borrowing and lending agreement;
  - 將任何有關證券抵押品存放於認可財務機構，作為提供予佳兆業金融集團有限公司的財務通融抵押品；  
to deposit any of the securities collateral with an authorized financial institution as collateral for financial accommodation provided to Kaisa Financial Group Company Limited;
  - 將任何有關證券抵押品存放於獲香港證券及期貨事務監察委員會認可的結算所或另一獲發牌或獲註冊進行證券交易的仲介人，作為解除佳兆業金融集團有限公司在交收上的義務和清償佳兆業金融集團有限公司在交收上的法律責任的抵押品。  
to deposit any of the securities collateral with any clearing house recognized under the Securities and Futures Ordinance or another intermediary licensed or registered for dealing in securities as collateral for the discharge and satisfaction of Kaisa Financial Group Company Limited's settlement obligations and liabilities.
- ii. 本人/我們獲悉及確認佳兆業金融集團有限公司將客戶的證券及抵押品轉按的做法。  
I/We hereby acknowledge, and confirm having been informed by Kaisa Financial Group Company Limited, that Kaisa Financial Group Company Limited has the practice of repledging clients' securities and securities collateral.
- iii. 本常設授權並不涵蓋佳兆業金融集團有限公司借入、貸出或存放本人/我們任何證券而須支付或收取的任何代價。任何代價均須由本人/我們與佳兆業金融集團有限公司另行簽約訂明。  
This standing authority does not cover any consideration, which must be set in a separate agreement between me/us and Kaisa Financial Group Company Limited.
- iv. 本人/我們的證券可能受制於第三者之權利，佳兆業金融集團有限公司必須於抵償該等權利後，方將本人/我們的證券交還本人/我們。  
I/We understand that a third party may have rights to my/our securities, which Kaisa Financial Group Company Limited must satisfy before my/our securities can be returned to me/us.
- v. 本常設授權以本開戶書簽署日期起計十二個月內有效，並可於下列情況予以續期，每次續期可有效十二個月：本人/我們以書面同意續期；若佳兆業金融集團有限公司於該授權有效屆滿前不少於十四日向本人/我們發出書面通知，而本人/我們於該授權有效期屆滿前未有提出反對續期。本人/我們有權隨時以三十天書面通知佳兆業金融集團有限公司；撤銷此常設授權書。  
This standing authority is valid for a period of up to 12 months from the date of me/us signing this Account Opening Form and may be renewed for subsequent periods of not exceeding 12 months if I/we am/are given a written notice from Kaisa Financial Group Company Limited at least 14 days prior to the expiry of such authority and I/we do not object to the renewal of such authority before its expiry. This standing authority may be revoked at any time on giving 30 days' prior written notice to Kaisa Financial Group Company Limited.
- vi. 本人/我們明白現時無任何法例規定本人/我們必須簽署此授權書；然而，佳兆業金融集團有限公司可能需要此授權書，以便例如向本人/我們提供保證金貸款，或獲許將有關本人/我們的證券或證券抵押品供出予第三方或作為抵押品存放於第三方，該第三方將對本人/我們的證券或證券抵押品具有留置權或作出押記。雖然佳兆業金融集團有限公司根據本人/我們的授權而借出或存放屬於本人/我們的證券或抵押品須對本人/我們負責，但佳兆業金融集團有限公司的失責行為可能導致本人/我們損失本人/我們的證券或抵押品。本人/我們同意並確認佳兆業金融集團有限公司及其有聯繫實體有權收取及保留任何由於處置本人/我們的證券或證券抵押品所產生的任何報酬、收入、回佣或其他利益而無須向本人/我們負責。  
I/We understand that I/we am/are not required by any law to sign this authority but it may be required by Kaisa Financial Group Company Limited, for example, to facilitate margin lending to me/us or to allow my/our securities or securities collateral to be lent to or deposited as collateral with third parties. I/We also understand that if I/we sign this authority and my/our securities or securities collateral are lent to or deposited with third parties, Kaisa Financial Group Company Limited shall remain responsible to me/us for securities or securities collateral lent or deposited under my/our authority, a default by Kaisa Financial Group Company Limited could result in the loss of my/our securities or securities collateral. I/We agree and confirm that Kaisa Financial Group Company Limited and its associated entities shall be entitled to receive and retain for their own benefit and not be accountable to me/us for any remuneration, income, rebates or other benefits resulting from any dealing with my/our securities or securities collateral.

- 本人/我們同意本人/我們的個人資料被用作貴公司之通告中所指的服務，及/或轉移至佳兆業金融集團有限公司，及/或它的任何集團公司用於享受集團關聯公司的客戶禮遇、盡職調查或數據統計。  
I/We agree to the use of my/our personal data for the service specified in your company's notice and/or transfer of my/our personal data to Kaisa Financial Group Company Limited and their group companies for acquiring the related customer rewards, due diligence or data analysis.

**14. 客戶簽署 Client Signature**

客戶簽署 Signed by Client

公司印章 Company Chop

獲授權代表名稱 Name of Authorized Person

職位 Position

日期 Date:

見證人  
in the presence of:

所屬專業及職銜 Profession /Title: \_\_\_\_\_

見證人簽署 Signature of Witness

姓名

Name: \_\_\_\_\_

日期 Date: \_\_\_\_\_

**15. 職員聲明 Declaration by Staff**

本人，以持牌代表人身份，確認本人已按照上述客戶所選擇的語言提供風險披露聲明之副本及邀請客戶閱讀該風險披露聲明、提出問題及徵求獨立意見(如客戶有此意願)。



I, a licensed person, declare that I have provided the above client with a copy of the Risk Disclosure Statement in a language of the client's choice and invited the client to read the Risk Disclosure Statement, ask questions and take independent advice if the client so wishes.  
#以上客戶簽署乃於本人面前簽立。The above client signature(s) was/were made in my presence.

職員簽署 Signed by Staff

日期 Date: \_\_\_\_\_

職員姓名 Name of Staff

中央編號 CE Number: \_\_\_\_\_

### 公司帳戶簽名樣式 Corporate Account Specimen Signature

客戶名稱 Client Name	帳戶號碼 Account Number
獲授權簽名 Authorized Signature (1)	獲授權簽名 Authorized Signature (2)
獲授權人名稱 Name of Authorized Person	獲授權人名稱 Name of Authorized Person
<input type="checkbox"/> 所有帳戶書面指示須由兩位獲授權人同時簽署 All written instruction of the account should be jointly signed by both authorized persons	
備註 Remarks	日期 Date: _____

### 本公司內部使用 For Office Use Only

核對清單 Check List	AE Name:	AE Code:		
<input type="checkbox"/> 客戶的公司註冊證書及商業登記證書的核證副本（或其他適當的註冊證據或/及註冊費的憑證） <input type="checkbox"/> 客戶的組織章程大綱及章程細則 <input type="checkbox"/> 客戶的董事名冊核證副本（提交最近存檔於公司註冊處的相關表格） <input type="checkbox"/> 客戶的董事會決議核證摘錄 <input type="checkbox"/> 客戶所有授權代表及董事的香港身份證或護照核證副本 <input type="checkbox"/> 公司的通訊地址證明 <input type="checkbox"/> 最近之財政報告 <input type="checkbox"/> 客戶的董事之擔保書 <input type="checkbox"/> 所有持客戶百分之五或以上權益的股東及（如非同屬一人）客戶的最終受益人的香港身份證、護照或其他身份證明文件核證副本 <input type="checkbox"/> DOW JONES Checker: _____ Date: _____	佣金收費			
	港股 HK\$	滬深 A 股 CNY\$	環球證券 US\$	
	普通 %; Min \$	普通 %; Min \$	普通 %; Min \$	
	網上 %; Min \$	網上 %; Min \$	網上 %; Min \$	
	Rebate To:		Rebate %	
	Trading Limit:		Interest Rate: P + %	
	Loan Limit:			

### Settlement Instruction

<input type="checkbox"/> Mail 郵寄	<input type="checkbox"/> 電郵 Email	<input type="checkbox"/> 傳真 Fax
客戶交收方法	<input type="checkbox"/> 收取支票	<input type="checkbox"/> 續存戶口

### 開戶審批 Approval of Account Opening



Input by:	Checked by:	Approved by:
Name:	Name:	Name:
Division:	Division:	Division:
Date:	Date:	Date: