

根據《證券及期貨條例》就第一類受規管活動獲發牌的持牌法團中央編號 B0A307。  
A corporation licensed for Type 1 regulated activities under the Securities and Futures Ordinance with CE No. B0A307.

### 客戶資料表格 CLIENT INFORMATION FORM (公司/機構帳戶 COPORATE/ INSTITUTIONAL ACCOUNT)

|                                   |  |                            |  |
|-----------------------------------|--|----------------------------|--|
| 負責客戶主任姓名<br>Responsible AE        |  | 帳戶號碼<br>Account No.        |  |
| 客戶主任編號<br>A E Code                |  | 申請開戶日期<br>Application Date |  |
| 與客戶主任認識年期<br>How long known to AE |  | 戶口種類<br>Account Type       | <input type="checkbox"/> 現金帳戶<br>Cash Account <input type="checkbox"/> 保證金帳戶<br>Margin Account |
| 介紹人<br>Introduced By              |  |                            |  |

### 客戶資料(公司/機構戶口) CLIENT INFORMATION (FOR CORPORATE / INSTITUTIONAL ACCOUNT)

|  |  |
|--|--|
| 公司英文名稱<br>Name in English  |  |
| 公司中文名稱<br>Name in Chinese  |  |
| 註冊國家<br>Place of Incorporation   | 註冊日期<br>Date of Incorporation  |
| 公司註冊號碼<br>Certificate of Incorporation No.   | 香港商業登記號碼<br>HK Business Registration No.   |
| 辦公室電話號碼<br>Office Telephone  | 辦公室傳真號碼<br>Office Fax  |
| 手提號碼<br>Mobile No.   | 電郵地址<br>E-mail Address   |
| 註冊地址<br>Registered Address   |  |
| 營業地址(不接受郵政信箱)<br>Business Address (P.O.Box not accepted)   | <input type="checkbox"/> 與註冊地址相同 Same as Registered Address<br><input type="checkbox"/> 其他 Others: _____   |
| 通訊地址(不接受郵政信箱)<br>Mailing Address (P.O.Box not accepted)  | <input type="checkbox"/> 與註冊地址相同 same as Registered Address <input type="checkbox"/> 與營業地址相同 same as Business Address<br><input type="checkbox"/> 其他 Others: _____ |
| 公司類別 Nature of Entity  |  |
| <input type="checkbox"/> 上市公司 Listed Company <input type="checkbox"/> 有限公司 Limited Company <input type="checkbox"/> 離岸公司 Offshore Company<br><input type="checkbox"/> 合夥 Partnership <input type="checkbox"/> 國有企業 State-owned Company <input type="checkbox"/> 其他 Others: _____ |  |
| 業務性質<br>Nature of Business   |  |
| 交易確認及結單透過以下方式發送(只選一項) Trading Confirmations and statements will be sent by the following means (select one)  |  |
| <input type="checkbox"/> 電郵方式 By Email <input type="checkbox"/> 郵遞方式 By Post (將會收取行政費 Administrative Fee will be charged)  |  |
| 結單語言 Statement Language  |  |
| <input type="checkbox"/> 英文 English <input type="checkbox"/> 繁體中文 Traditional Chinese <input type="checkbox"/> 簡體中文 Simplified Chinese   |  |

### 所有董事資料 PARTICULARS OF ALL DIRECTORS

| 董事姓名<br>Name of Director(s) | 證件類型<br>Type of Identification Document | 身份證/護照號碼<br>ID Card No. / Passport No. | 出生日期<br>Date of Birth | 國籍<br>Nationality | 聯絡電話號碼<br>Contact Tel No. |
|-----------------------------|---|--|-----------------------|-------------------|---------------------------|
|                             |   |  |                       |                   |                           |
|                             |   |  |                       |                   |                           |
|                             |   |  |                       |                   |                           |
|                             |   |  |                       |                   |                           |

| 所有最終股東個人資料(不適用於上市公司) / 合夥人<br>PARTICULARS OF ALL ULTIMATE SHAREHOLDERS (INDIVIDUALS) (not applicable to listed company) / PARTNERS |   |   |                       |                   |                           |                      |
|--|---|---|-----------------------|-------------------|---------------------------|----------------------|
| 股東姓名<br>Name of Shareholder(s)   | 證件類型<br>Type of Identification Document | 身份證/ 護照號碼<br>ID Card No. / Passport No. | 出生日期<br>Date of Birth | 國籍<br>Nationality | 聯絡電話號碼<br>Contact Tel No. | 擁有%<br>% of Share(s) |
|  |   |   |                       |                   |                           |                      |
|  |   |   |                       |                   |                           |                      |
|  |   |   |                       |                   |                           |                      |
|  |   |   |                       |                   |                           |                      |

| *最終擁有權或控制權 (不適用於上市公司)<br>Ultimate Ownership or Control (not applicable to listed company) |   |   |                       |                   |                           |                      |
|---|---|---|-----------------------|-------------------|---------------------------|----------------------|
| 最終實益擁有人/控制人<br>Name of Ultimate Beneficial Owner(s) / Controller(s)                       | 證件類型<br>Type of Identification Document | 身份證/ 護照號碼<br>ID Card No. / Passport No. | 出生日期<br>Date of Birth | 國籍<br>Nationality | 聯絡電話號碼<br>Contact Tel No. | 擁有%<br>% of Share(s) |
|   |   |   |                       |                   |                           |                      |
|   |   |   |                       |                   |                           |                      |
|   |   |   |                       |                   |                           |                      |
|   |   |   |                       |                   |                           |                      |

| 主要聯絡人資料 Main Information of Contact Person |                    |                        |
|--|--------------------|------------------------|
| 英文姓名 English Name:                         | 中文姓名 Chinese Name: | 現任職位 Current Position: |
|  |                    |                        |
| 辦公室電話 Office Tel:                          | 手機 Mobile:         | 電郵 Email:              |
|  |                    |                        |

\*如最終實益擁有人與上述主要股東不同，請提供最終實益擁有人或最終控制人之資料  
Please provide details of Ultimate Beneficial Owner(s) or Ultimate Controller(s) if they are different from the above Major Shareholder(s).

| 客戶指定銀行帳戶資料 CLIENT DESIGNATED BANK ACCOUNT INFORMATION  |                   |                   |  |
|--|-------------------|-------------------|--|
| 銀行帳戶 (只供存款用途) BANKING ACCOUNT (For fund deposit only)<br>除閣下另行指示外，任何支付予閣下的款項將會存入下列銀行帳戶：<br>Unless otherwise to be instructed by you, all monies payable to you will be credited to the following bank account: |                   |                   |  |
| 貨幣 Currency  | 銀行名稱 Name of Bank | 帳戶口號碼 Account No. | 地區 District  |
| <input type="checkbox"/> 港元 (HKD)<br><input type="checkbox"/> 人民幣 (CNY)<br><input type="checkbox"/> 美元 (USD)   |                   |                   | <input type="checkbox"/> 香港 Hong Kong<br><input type="checkbox"/> 其他 Others: _____ |
| <input type="checkbox"/> 港元 (HKD)<br><input type="checkbox"/> 人民幣 (CNY)<br><input type="checkbox"/> 美元 (USD)   |                   |                   | <input type="checkbox"/> 香港 Hong Kong<br><input type="checkbox"/> 其他 Others: _____ |
| 海外銀行請提供地址及銀行代號<br>Bank address and Swift Code for overseas bank  |                   |                   |  |
| 備註<br>Remarks  |                   |                   |  |
| *銀行賬戶名稱必須與客戶名稱相同及只供存款用途 Bank account name must match with name of the Client and for fund deposit only.  |                   |                   |  |

| 公司/機構客戶財務資料 FINANCIAL INFORMATION (FOR CORPORATION / INSTITUTIONAL CLIENT)                             |  |   |  |  |  |                          |                          |
|--|--|---|--|--|--|--------------------------|--------------------------|
| 法定股本<br>Authorized Capital   |  |   | 繳足股本<br>Paid-up Capital                          |  |  |                          |                          |
| 資金來源<br>Source of Funds  | <input type="checkbox"/> 股東個人資本 Shareholders Capital<br><input type="checkbox"/> 投資溢利 Investment Profits<br><input type="checkbox"/> 營業溢利 Business Profits<br><input type="checkbox"/> 貸款 Loan<br><input type="checkbox"/> 其他 Others _____   |   | 流動資產<br>Liquid Assets                            | <input type="checkbox"/> <HKD100,000<br><input type="checkbox"/> HKD100,001 – HKD500,000<br><input type="checkbox"/> HKD500,001 – HKD5,000,000<br><input type="checkbox"/> HKD5,000,001 – HKD10,000,000<br><input type="checkbox"/> 其他 Others _____                                    |  |                          |                          |
| 資產淨值<br>Net Asset Value  | 根據最近的審計帳目 Based on latest audited accounts as at ____/____ 年度<br><input type="checkbox"/> < HKD500,000<br><input type="checkbox"/> HKD500,001 – HKD5,000,000<br><input type="checkbox"/> HKD5,000,001 – HKD10,000,000<br><input type="checkbox"/> 其他 Others _____  |   | 最新除稅後盈利<br>Latest Annual Profit after Tax        | 根據最近的審計帳目 Based on latest audited accounts as at ____/____ 年度<br><input type="checkbox"/> < HKD500,000<br><input type="checkbox"/> HKD500,001 – HKD5,000,000<br><input type="checkbox"/> HKD5,000,001 – HKD10,000,000<br><input type="checkbox"/> 虧損：數額為 Loss with amount at HKD _____ |  |                          |                          |
| 持續資金來源 ONGOING SOURCE(S) OF FUNDS  |  |   |  |  |  |                          |                          |
| 持續資金來源<br>Ongoing Source(s) of Wealth  | <input type="checkbox"/> 業務收益 Business Income  |   | <input type="checkbox"/> 投資溢利 Investment Profits |  | <input type="checkbox"/> 其他 Others _____ |                          |                          |
| 資金轉移方式<br>Means of fund transfer(s)<br>(可選多於一項)<br>Investment Experience<br>(Can choose more than one) | <input type="checkbox"/> 現金 Cash   | <input type="checkbox"/> 銀行轉賬 Bank Transfer | <input type="checkbox"/> 電匯 T.T                  | <input type="checkbox"/> 支票 Cheque   | <input type="checkbox"/> 其他 Others _____ |                          |                          |
| 資金來源地<br>Country(ies) of Origin(s)<br>(可選多於一項)<br>Investment Experience<br>(Can choose more than one)  | <input type="checkbox"/> 香港 Hong Kong <input type="checkbox"/> 中國 China <input type="checkbox"/> 美國 United States <input type="checkbox"/> 其他 Others _____<br>客戶確認資金並非來源於或涉及非法所得 The Client confirms the source of funds is not arising from proceeds of crime.  |   |  |  |  |                          |                          |
| 預計每月交易概況 ANTICIPATED LEVEL OF TRANSACTION PER MONTH SECTION  |  |   |  |  |  |                          |                          |
| 預計投資產品<br>Anticipated Investment Products  | <input type="checkbox"/> 證券 Stocks   | <input type="checkbox"/> 債券 Bonds           | <input type="checkbox"/> 基金 Fund                 | <input type="checkbox"/> 其他衍生工具 Other Derivatives  | <input type="checkbox"/> 其他 Others _____ |                          |                          |
| 預計每月交易次數<br>Anticipated number of transactions per month   | <input type="checkbox"/> <20 <input type="checkbox"/> 20-50 <input type="checkbox"/> >50 <input type="checkbox"/> 其他 Others _____  |   |  |  |  |                          |                          |
| 預計每月交易金額<br>Anticipated amount of transactions per month   | <input type="checkbox"/> <HKD500,000 <input type="checkbox"/> HKD500,001-HKD2,000,000 <input type="checkbox"/> HKD2,000,001-HKD5,000,000 <input type="checkbox"/> > HKD5,000,000   |   |  |  |  |                          |                          |
| 客戶/獲授權人投資經驗 CLIENT'S/ AUTHORIZED PERSON(S)' INVESTMENT EXPERIENCE AND OBJECTIVE                        |  |   |  |  |  |                          |                          |
| 投資目標<br>Investment Knowledge   | <input type="checkbox"/> 短期 Short Term <input type="checkbox"/> 中期 Medium Term <input type="checkbox"/> 長期 Long Term<br><input type="checkbox"/> 資本增值 Capital Appreciation <input type="checkbox"/> 股息回報 Dividend Yield <input type="checkbox"/> 對沖 Hedging<br><input type="checkbox"/> 投機 Speculation <input type="checkbox"/> 其他 Others: _____ |   |  |  |  |                          |                          |
| 投資經驗<br>(可選多於一項)<br>Investment Experience<br>(Can choose more than one)                                | 產品   | 經驗 (以年計算) Experience (in term of year)      |  |  |  |                          |                          |
|  |  | 無 Nil                                       | <1   | 1-3  | 3-5                                      | 5-10                     | >10                      |
|  | 上市證券 Listed Securities   | <input type="checkbox"/>                    | <input type="checkbox"/>                         | <input type="checkbox"/>   | <input type="checkbox"/>                 | <input type="checkbox"/> | <input type="checkbox"/> |
|  | 期貨或期權 Futures or Options   | <input type="checkbox"/>                    | <input type="checkbox"/>                         | <input type="checkbox"/>   | <input type="checkbox"/>                 | <input type="checkbox"/> | <input type="checkbox"/> |
|  | 牛熊證 Callable Bull/Bear Contract (CBBC)   | <input type="checkbox"/>                    | <input type="checkbox"/>                         | <input type="checkbox"/>   | <input type="checkbox"/>                 | <input type="checkbox"/> | <input type="checkbox"/> |
|  | 衍生認股證 Derivative Warrants  | <input type="checkbox"/>                    | <input type="checkbox"/>                         | <input type="checkbox"/>   | <input type="checkbox"/>                 | <input type="checkbox"/> | <input type="checkbox"/> |
|  | 創業板 Growth Enterprise Market (GEM)   | <input type="checkbox"/>                    | <input type="checkbox"/>                         | <input type="checkbox"/>   | <input type="checkbox"/>                 | <input type="checkbox"/> | <input type="checkbox"/> |
|  | 槓桿式外匯 Leveraged Foreign Exchange   | <input type="checkbox"/>                    | <input type="checkbox"/>                         | <input type="checkbox"/>   | <input type="checkbox"/>                 | <input type="checkbox"/> | <input type="checkbox"/> |
|  | 單位信託基金或債券 Unit Trust or Bonds  | <input type="checkbox"/>                    | <input type="checkbox"/>                         | <input type="checkbox"/>   | <input type="checkbox"/>                 | <input type="checkbox"/> | <input type="checkbox"/> |
| 結構性產品 Structured Product   | <input type="checkbox"/>   | <input type="checkbox"/>                    | <input type="checkbox"/>                         | <input type="checkbox"/>   | <input type="checkbox"/>                 | <input type="checkbox"/> |                          |
| 其他 (請說明) Others (Please specify) _____   | <input type="checkbox"/>   | <input type="checkbox"/>                    | <input type="checkbox"/>                         | <input type="checkbox"/>   | <input type="checkbox"/>                 | <input type="checkbox"/> |                          |
| 預期投資額<br>Expected Investment Amount  | <input type="checkbox"/> <HKD100,000 <input type="checkbox"/> HKD100,001 – HKD500,000 <input type="checkbox"/> HKD500,001 – HKD1,000,000<br><input type="checkbox"/> HKD1,000,001 – HKD5,000,000 <input type="checkbox"/> HKD5,000,001 – HKD10,000,000 <input type="checkbox"/> > HKD10,000,000  |   |  |  |  |                          |                          |

## 客戶/獲授權人對衍生產品的認識 CLIENT'S/AUTHORIZED PERSON(S) KNOWLEDGE OF DERIVATIVE PRODUCTS

- ☐ 客戶經以下途徑了解衍生產品的性質和風險 The Client understand the nature and risks of derivative products by :
- ☐ 客戶已接受有關介紹一般衍生產品及 / 或結構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)  
The Client underwent training or attended courses on derivative and/or structured products that provide general knowledge of the nature and risks of derivatives. (e.g. course offered by academic or financial institutions)  
修讀課程或培訓的名稱 \_\_\_\_\_ 日期 \_\_\_\_\_  
Name of course/seminars \_\_\_\_\_ Date : \_\_\_\_\_
  - ☐ 客戶現時或過去擁有與衍生產品及/或結構性產品的有關的工作經驗。  
The Client have current or previous work experience related to derivative and/or structured products.  
  
僱主名稱 \_\_\_\_\_  
Name of Employer \_\_\_\_\_  
在職日期 \_\_\_\_\_ 職業 \_\_\_\_\_  
Employment Period 由 From \_\_\_\_\_ 至 To \_\_\_\_\_ Occupation \_\_\_\_\_
  - ☐ 在過去3年中，客戶曾執行過5宗或以上有關衍生產品及 / 或結構性產品的交易。  
In the past 3 years, The Client have executed 5 or more transactions relating to derivative and/or structured products.  
☐ 牛熊證 Callable Bull/ Bear Contracts ☐ 衍生認股證 Derivative warrants  
☐ 期貨或期權合約交易 Futures & Options Contracts ☐ 合成交易所買賣基金 Synthetic Exchange Trade Funds (ETD)  
☐ 股票掛鉤產品 Equity Linked Instruments ☐ 其他 Others \_\_\_\_\_
  - ☐ 客戶對衍生產品沒有認識  
The Client DO NOT have any knowledge if derivative products.

### 可承受風險 RISK TOLERANCE (客戶投資意向，只填選一項 Please tick below one item if you have an interest in trading)

\*證券保證金買賣賬戶屬於“中等風險”及/或“高風險”類別 Securities Margin Account belongs to Medium and/or High risk categories.

|   |   |
|---|---|
| <input type="checkbox"/> 高 High                                   | 衍生權證 (窩輪) / 牛熊證 Derivative Warrants / CBBC<br>交易所買賣基金 / 信託基金 ETF / Trust<br>創業板 GEM<br>主板 Main Board  |
| <input type="checkbox"/> 中 Medium                                 | 交易所買賣基金 / 信託基金 ETF / Trust<br>創業板 GEM<br>主板 Main Board  |
| <input type="checkbox"/> 低 Low                                    | 主板 Main Board   |
| 評估結果<br>(只供本公司使用) Assessment<br>Result<br>(For Official Use Only) | <input type="checkbox"/> 對衍生產品有認識 With knowledge of derivatives<br><input type="checkbox"/> 對衍生產品沒有認識 Without knowledge of derivatives<br><input type="checkbox"/> 客戶已明白衍生產品所附帶的相關風險，並有意進行衍生產品交易 Client has fully understood the relevant risks of the derivative product(s)<br><input type="checkbox"/> 客戶無意進行衍生產品交易 Client do not wish to trade derivative product(s) |

### FATCA 身份聲明 FATCA IDENTITY DECLARATION

貴公司的任何股東是否擁有以下任何一項美國指標？

Is your Company any of your shareholders possess any of the following U.S. Indicia?

|    |  |  |
|----|--|--|
| 1. | 美國公民/繳納美國稅務的居民 (如美國護照/綠卡持有者、美國納稅人等)<br>US citizenship/tax residency (e.g. US passport/ Green Card holder, U.S. taxpayer, etc.)         | <input type="checkbox"/> 是 Yes / <input type="checkbox"/> 否 No |
| 2. | 美國出生地<br>US place of birth   | <input type="checkbox"/> 是 Yes / <input type="checkbox"/> 否 No |
| 3. | 美國地址 (如居住地址、郵寄地址、P.O. 郵箱)<br>US address (e.g. residential address, mailing address, P.O. box)  | <input type="checkbox"/> 是 Yes / <input type="checkbox"/> 否 No |
| 4. | 美國電話號碼 (如住宅、工作、行動、傳真號碼)<br>US telephone number (e.g. home, work, mobile, fax numbers)  | <input type="checkbox"/> 是 Yes / <input type="checkbox"/> 否 No |
| 5. | 從恒富證券有限公司向某美國銀行帳戶發出常設的款項轉賬指示<br>Standing instructions to pay amounts from Hengfu Securities Limited to an account maintained in the US | <input type="checkbox"/> 是 Yes / <input type="checkbox"/> 否 No |

#### FATCA 身分聲明 FATCA Identity Declaration (請選擇一項 Please Select One Only)

|     |   |                          |
|-----|---|--------------------------|
| (a) | 股東非美國人士，及沒有美國指標<br>Non US shareholder(s) with no US indicia     | <input type="checkbox"/> |
| (b) | 股東非美國人士，但具有美國指標<br>Non US shareholder(s) but with no US indicia | <input type="checkbox"/> |
| (c) | 股東為美國人士<br>Shareholder(s) with US individual(s)                 | <input type="checkbox"/> |

## 資料披露 DISCLOSURE OF INFORMATION

1. 貴公司是否此帳戶的最終實益擁有人？  
Is your Company the ultimate beneficial owner(s) in relation to the Account?  
☐ 是 Yes  
☐ 否，帳戶之最終實益人是(如多於一位，請另紙說明)  
No, detail of the ultimate beneficial owner is (if more than one, please specify on an additional paper):

姓名 \_\_\_\_\_ 身份證/護照號碼 \_\_\_\_\_ 國籍 \_\_\_\_\_  
Name \_\_\_\_\_ ID/Passport NO. \_\_\_\_\_ Nationality \_\_\_\_\_  
地址 \_\_\_\_\_  
Address \_\_\_\_\_

2. 貴公司是否受香港證監會或其他境外監管機構所監管？  
Is your Company regulated by the SFC of Hong Kong or by any overseas regulators?  
☐ 否 No  
☐ 是 Yes  
有關監管機構是 The name of regulators : \_\_\_\_\_

3. 貴公司之任何董事、股東、最終受益人、合夥人或獲授權人士是否獲香港證券及期貨事務監察委員會發牌或註冊之人士？  
Is your Company any of your director, shareholder, ultimate beneficiary owner, partner or authorized signatories, licensed by or registered with The Securities and Futures Commission of Hong Kong?  
☐ 否 No  
☐ 是，請列明持牌人士或公司名稱，及其相關中央編號  
Yes, Please specify name of licensed/ registered person/ corporation and the respective CE no.  
\_\_\_\_\_

4. 貴公司之任何董事、主要股東、最終受益擁有人、合夥人或獲授權人士是否與恒富證券有限公司或其聯繫公司之僱員或董事有任何關係？  
Is your Company any of your director, shareholder, ultimate beneficiary owner, partner or authorized signatories have any relationship with an employee(s) or director(s) of Hengfu Securities Limited?  
☐ 否 No  
☐ 是，請提供以下資料 Yes, Please provide details below

姓名 Name \_\_\_\_\_ 關係 Relationship \_\_\_\_\_

5. 貴公司之任何董事、股東、最終受益擁有人、合夥人或獲授權人士是否為任何上市公司董事、高級管理層或大股東？  
Is your Company any of your director, shareholder, ultimate beneficiary owner, partner or authorized signatories a director, a senior executive or a substantial shareholder of any listed company?  
☐ 否 No  
☐ 是，請提供詳程 Yes, Please provide details  
\_\_\_\_\_

6. 貴公司之任何董事、股東、最終受益擁有人、合夥人或獲授權人士、其配偶、伴侶、子女或父母、或其子女的配偶或伴侶、或其有關係密切的人，是否在任何地方擔任或曾擔任重要公職，包括國家元首、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？  
Is your Company any of your director, shareholder, ultimate beneficiary owner, partner or authorized signatories, his spouse, partner, children, parents, spouse or partner of his children or close associate, with you entrusted with a prominent public function in any place, including 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??  
☐ 否 No  
☐ 是，請說明 Yes, Please Specify

政治人物姓名及職位 Name and Position of PEP \_\_\_\_\_  
政治人物所屬國家 Country the PEP belongs \_\_\_\_\_ 與客戶之關係 PEP relationship with client \_\_\_\_\_

7 集團公司旗下成員是否已持有恒富證券有限公司之戶口？  
Is your member of your group companies an existing account holder of Hengfu Securities Limited?  
☐ 否 No  
☐ 是，請說明 Yes, Please Specify

帳戶號碼 Account No. \_\_\_\_\_ 持有人姓名 Name of Account Holder \_\_\_\_\_

8 控制客戶35%或以上之投票權的股東在恒富證券有限公司是否持有戶口？  
Is any shareholder(s) of the client controlled 35% or above of the voting rights of the client who maintain(s) account with Hengfu Securities Limited?  
☐ 否 No  
☐ 是，請說明 Yes, Please Specify

帳戶號碼 Account No. \_\_\_\_\_ 持有人姓名 Name of Account Holder \_\_\_\_\_

## 電子交易服務 ELECTRONIC TRADING SERVICES

閣下是否需要網上交易服務？ Do you need On-Line Trading Services?

☐ 否 No

☐ 是 Yes

請為我提供電子服務。我/我們已經閱讀並明白網上交易協議的條款，並接受這些條款的約束。

Please provide Electronic Trading Services for me/us. I/We have read and understand the provisions of the On-Line Trading Agreement and agree to be bound by same.

## 供直接促銷使用的個人資料 USE OF PERSONAL DATA FOR DIRECT MARKETING

《個人資料私隱政策》本人 / 吾等已仔細閱讀、完全理解並同意接受及遵守恒富證券有限公司之個人資料私隱政策所載有關個人資料（私隱）條例（香港法例第486章）的通知及聲明。除非本人 / 吾等在下方方格內另有指示，本人 / 吾等同意將本人 / 吾等的個人資料用作直接促銷用途。 Data Privacy Policy. I/We have carefully read, fully understood and agreed to accept and be bound by the notice and statement relating to the Personal Data (Privacy) Ordinance (Cap.486 of the Laws of Hong Kong) as set out in the Data Privacy Policy of the Hengfu Securities Limited. Unless I/we have indicated my/our objection by ticking the boxes below, I/We hereby consent to the use of my/our personal data for direct marketing purpose.

- ☐ 除了恒富證券有限公司可將本人的個人資料作直接促銷用途外，本人 / 吾等反對貴公司將本人 / 吾等的個人資料予其他第三者作直接促銷用途。  
I/We object to the proposed use of my/our personal data by other third parties except for the use of my/our personal data in direct marketing by Hengfu Securities Limited in direct marketing.
- ☐ 本人 / 吾等反對將本人 / 吾等的個人資料提供予恒富證券有限公司及任何第三者作直接促銷用途。  
I/We object to the proposed use of my/our personal data by Hengfu Securities Limited and any third parties in direct marketing.

## 客戶的聲明及同意 Declaration and Agreement by Client

本公司聲明及確認 We declare and acknowledge that:

- 本公司於恒富證券開立一個或多個現金證券買賣戶口及/或保證金證券買賣戶口(下稱“該戶口”)(在客戶資料表首頁列明戶口類別)以進行證券買賣。本公司明白恒富證券有絕對酌情權，依照條款及條件在適合的情況下，就本公司於證券交易提供或不提供財務通融，恒富證券會為本公司維持並記錄該戶口之交易為保證金證券買賣。恒富證券同意不時應本公司要求，按其獨自酌情權讓本公司在恒富證券開立一個或多個戶口並以代理人身份行事(除非客戶協議之條款及條件中特別註明恒富證券為主事人)。  
We wish to open one or more cash trading account and/or margin securities trading account (the “Account(s)”) (as indicated in the first page of this Client Information Form) with Hengfu for the purchase or sale of securities with or without margin facility. We understand that Hengfu may, at its absolute discretion, from time to time on the Terms and Conditions Hengfu may think fit, provide us with financial accommodation in respect of transactions in securities effected by Hengfu for Margin Account. The Account(s) which Hengfu maintains for us to record such transactions shall be margin securities trading. Hengfu agrees that Hengfu will from time to time at our request at Hengfu's sole discretion allow us to open one or more Account(s) with Hengfu and will act as agent (except as principal on occasions specified in Client's Agreement for the Account(s) subject to the Terms and Conditions).
- 本公司現聲明已閱悉及同意恒富證券開戶申請表，並已填寫客戶資料表，及已閱悉及同意客戶協議中的條款及條件、保證金客戶之常設授權(只適用於保證金戶口)、個人資料(私隱)政策的通知及額外條款及條件(如同時申請網上服務)。上述所有權均構成恒富證券與本公司就該戶口達成的協議。本公司現聲明及確認由恒富證券給予本公司之協議，包括但不限於客戶協議中的風險披露聲明、保證金客戶之常設授權(只適用於保證金戶口)、個人資料(私隱)政策的通知以及客戶協議之額外條款及條件(如同時申請網上服務)，恒富證券是按本公司選擇的語言(英文或中文)提供。本公司獲邀請閱讀該風險披露聲明、保證金客戶之常設授權及個人資料(私隱)政策的通知、提出問題並按本身意願選擇是否聽取獨立法律意見(如本公司有此意願)。本公司已獲解釋該風險披露聲明。  
We hereby declare that we have read and agreed to Hengfu's Account Opening Form, completed Client's Information Statement and have read and agreed to Terms and Conditions, Standing Authority for Margin Clients (in case of Margin Account), Notice of Personal Data (Privacy) Policy and Additional Terms and Conditions of Client's Agreement (if also apply for Web Services) which form the agreement made between Hengfu and us in relation to the Account(s). We hereby acknowledge and confirm that Client's Agreement(s), including but not limited to the Risk Disclosure Statements set out in Client's Agreement, Standing Authority for Margin Clients (in case of Margin Account), Notice of Personal Data (Privacy) Policy and Additional Terms and Conditions

(if also apply for Web Services) of Client's Agreement, were provided to us in a language of our choice (English or Chinese). We were invited to read the Risk Disclosure Statements, Standing Authority for Margin Clients (in case of Margin Account) and Notice of Personal Data (Privacy) Policy carefully, ask questions and take independent legal advice if we wish. We have been explained the Risk Disclosure Statements.

3. 本公司接受本客戶協議條款及細則以及同意受其約束，由以下本公司簽署日生效。  
We accept the Terms and Conditions of the Client Agreement and agree to be bound by them with effect from the date of our execution shown below.
4. 本公司已仔細考慮風險披露聲明書及瞭解進行證券買賣所涉及之高風險。考慮到本公司的財務狀況及投資目標，本公司確認本公司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，亦自願確認證券買賣是一項對本公司合適的買賣方式。  
We have carefully considered the Risk Disclosure Statement and recognize that trading in securities involves a high degree of risk. Considering our financial position and investment objective, we confirm that we are financially able to assume such risks and to sustain any losses resulting from such trading and voluntarily confirm that trading in securities is a suitable trading vehicle for us.
5. 本公司已於下列日期在本合約上簽署。  
We have signed the Agreement on the date shown below.
6. 本公司知悉及確認本公司必須遵守本公司登記註冊國、國籍、居住國及/居籍的法律之下可能適用的與購買、持有及沽售證券相關的 (i)可能產生的任何稅務後果，包括但不限於美國<海外賬戶稅收合規法案>(FATCA)和<經濟合作及發展組織>的自動交換金融賬戶資料共同匯報標準(CRS)及(ii)法律規定及外匯限制或管理規定。  
We acknowledge and confirm that we must (i)observe any possible tax consequences including but not limited to the US Foreign Account Tax Compliance Act ("FATCA") and the OECD Common Reporting Standard ("CRS") for Automatic Exchange of Financial Account Information, and (ii)comply with any legal requirements and foreign exchange restrictions or exchange control requirements which might be applicable under the laws of the countries of my incorporation, citizenship, residence and/or domicile and which might be relevant to the purchase, holding or disposal of securities.  
\*若對於貴公司的稅務狀況有任何疑問，請聯盟貴公司的稅務顧問或當地稅務機關。如貴公司的稅務狀況有任何變動，請立即告知我們，並提供貴公司的最新稅務狀況。  
If you company have any questions on your tax status, please consult your tax adviser or domestic tax authority. You are required to notify us promptly and provide us with an updated tax status should there be any changes to your tax details.
9. 在不抵觸當地適用法律的情況下，本公司同意恒富證券可向國內及海外的監管機構或稅務機構提供本公司的資料以確立本公司於任何司法管轄區的稅務責任。  
Subject to applicable local laws, we hereby consent for Hengfu to disclose, report, or share our information with local and overseas regulators or tax authorities where necessary to establish our tax liability in any jurisdiction.
10. 因應本地及海外監管機構或稅務機構的要求，本公司同意並允許恒富可按適用的法律、法規和指令在本公司之賬戶中扣留相關所須的款項。  
Where required by local or overseas regulators or tax authorities, we consent and agree that Hengfu may withhold from our account(s) such amounts as may be required according to applicable laws, regulations and directives.
11. 本公司承諾會與恒富證券充分合作，以確保恒富證券就處理與本公司賬戶相關的事宜會符合適用的法律、法規和指令。  
We undertake to fully cooperate with Hengfu to ensure it meets its obligations under applicable laws, regulations and directives in connection with our account(s).
12. 本公司承認及確認該開戶申請表按本公司所選擇的語言(英文或中文)提供予本公司。該開戶申請表中英文版本如有不一致之處，應以英文文本為準。  
We acknowledge and confirm that this Account Application Form was provided to us in either, at our choice, English or Chinese. In the event of any inconsistency between the English and Chinese versions of this Account Application Form, the English version will prevail.
13. 本公司已閱讀及完全明白本合約之條款及細則中的網上交易協議的條款，並接受這些條款的約束。  
We have read and fully understood the Terms and Conditions of On-line Trading, and agree to be bound by them.
14. (只適用於保證金戶口)本公司已要求恒富證券根據業務條款提供予本公司保證金融資或根據業務條款提供託管服務。本公司理解及確認：(a)本公司將就該等服務獲提供常設授權；(b)現時無任何法例規定本公司必須簽署此常設授權，然而恒富證券可能需要此授權，以便例如向本公司提供保證金貸款或獲許將有關本公司的證券或證券抵押品借出予協力廠商或作為抵押品存放於協力廠商；及(c)倘本公司未按照恒富證券規定的形式提供常設授權，恒富證券可能拒絕向本公司提供該等服務。  
(Applicable to Margin Accounts only) We have requested Hengfu to provide us with Margin financing pursuant to the Terms of Business or custody services pursuant to the Terms of Business. We understand and acknowledge that: (a)we will be provided with a Standing Authority in relation to such services; (b)we are not required by any law to sign the Standing Authority but it may be required by Hengfu, for example, to facilitate Margin lending to us or to allow our securities or securities collateral to be lent to or deposited as collateral with third parties; and (c) Hengfu may refuse to provide us with such services if we do not provide a Standing Authority in the form prescribed by Hengfu.
15. 本公司已查閱有關本自我認證的資料，並據本公司所知及所信，該等資料正確無誤及完整。  
We declare that we have examined the information on this self-certification and to the best of our knowledge and belief, it is true, correct, and complete.
16. 本公司同意，如本自我認證內的任何資料變得不正確，本公司將於二十一 (21)日內提交新的自我認證。  
We agree that we will submit new self-certification(s) within twenty-one (21) days if any information herein becomes incorrect.

警告：根據<稅務條例>，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，可致重罰。

WARNING: It is a serious offence under 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. Heavy penalty may apply upon conviction





核准及接納 Approved and accepted by

For and on behalf of  
Hengfu SECURITIES LIMITED acknowledges and agrees 代表  
恒富有限公司確認並同意

獲授權人簽名 Authorised Signature(s)

獲授權人姓名:

Full Name of Authorised Person: \_\_\_\_\_

日期 Date: \_\_\_\_\_

只供內部使用 Internal Use Only

|                                |                                   |
|--------------------------------|-----------------------------------|
| 港元佣金(%)<br>HKD Commission (%)  | 港元最低佣金<br>HKD Minimum Commission  |
| 美元佣金(%)<br>USD Commission (%)  | 美元最低佣金<br>USD Minimum Commission  |
| 人民幣佣金(%)<br>RMB Commission (%) | 人民幣最低佣金<br>RMB Minimum Commission |
| 經紀號碼<br>AE Code                | 經紀回佣 (%)<br>AE Rebate Rate (%)    |
| 交易限額<br>Trading Limit          | 信貸限額<br>Credit                    |
| 利率<br>Interest Rate            |                                   |

文件確認 Document Reviewed by / Processed By

|  |                            |            |
|--|----------------------------|------------|
| 職員姓名<br>Name of Staff                  | 職員簽署<br>Signature of Staff | 日期<br>Date |
| 客戶資料核對 Customer information checked by |                            |            |
| 職員姓名<br>Name of Staff                  | 職員簽署<br>Signature of Staff | 日期<br>Date |

|                     |                               |            |                          |                               |
|---------------------|-------------------------------|------------|--------------------------|-------------------------------|
| Document Checked by | A/C Opening Approved<br>by RO | Data Input | Data Input Authorized by | Welcome Letter sent out<br>by |
|                     |                               |            |                          |                               |
| Date:               | Date:                         | Date:      | Date:                    | Date:                         |

帳戶生效日期(日/月/年) Account Activation Date (DD/MM/YY) \_\_\_\_\_

| Account Opening Document Checklist – Corporate / Institutional Account<br>開戶文件查核清單-公司/機構帳戶 |   |                                   |                                  |
|--|---|-----------------------------------|----------------------------------|
|  |   | 香港註冊<br>Hong Kong<br>Incorporated | 海外註冊<br>Overseas<br>Incorporated |
| 需填妥文件 Documents To Be Completed  |   |                                   |                                  |
| <input type="checkbox"/>   | 公司/機構客戶資料表<br>Corporate/Institutional Account Information Form  | √                                 | √                                |
| <input type="checkbox"/>   | 外國賬戶稅務合規法案文件W-8BEN-E<br>US IRS Form W-8BEN-E  | √                                 | √                                |
| <input type="checkbox"/>   | 自我認證表格 – 實體<br>Self-Certification Form - Entity   | √                                 | √                                |
| <input type="checkbox"/>   | 自我認證表格 – 控權人 (如適用)<br>Self-Certification Form – Controlling Person (if applicable)  | √                                 | √                                |
| <input type="checkbox"/>   | 常設授權(僅保證金賬戶)<br>Standing Authority (for Margin Accounts Only)   | √                                 | √                                |
| <input type="checkbox"/>   | 防止洗錢及防止恐怖籌資活動問卷<br>AML & ANTI Terrorist Financing Questionnaire   | √                                 | √                                |
| 所需文件 Documents requested   |   |                                   |                                  |
| <input type="checkbox"/>   | 董事會會議記錄 – 有關開立戶口及操作戶口事宜並註明所有授權簽名人士(須包括授權人全名, 簽名式樣以及獲授予之權力 Board resolution authorizing the opening and operating of the account and specifying the signing arrangements for operation and operating account (with the full name of the authorized persons, their signatory specimen, and their capacity/ authority) | √                                 | √                                |
| <input type="checkbox"/>   | 公司註冊證書<br>Certificate of Incorporation  | √                                 | √                                |
| <input type="checkbox"/>   | 組織章程大綱及章程細則<br>Memorandum and Articles of Association   | √                                 | √                                |
| <input type="checkbox"/>   | 商業登記證<br>Business Registration Cert.  | √                                 |                                  |
| <input type="checkbox"/>   | 職權證明書 (最近三個月)<br>Certificate of Incumbency (within 3 months)  |                                   | √                                |
| <input type="checkbox"/>   | 周年申報表(AR1/NAR1)及最新之D2A/ND2A/SC1/NSC1/轉讓文書<br>Annual Return (AR1/NAR1) and latest D2A/ND2A/SC1/NSC1/ bought & sold note  | √                                 |                                  |
| <input type="checkbox"/>   | 董事/ 股東登記紀錄<br>Register of Director/ Shareholder   | √                                 | √                                |
| <input type="checkbox"/>   | 下列人士之身份證/ 護照副本: (1) 董事 (2) 主要股東 (3) 獲授權人 (4) 獲授權簽署人 (5) 最終受益人 (6) 擔保人<br>Copies of ID / Passport of the followings: (1) Directors (2) Substantial Shareholders (3) Authorized Person (4) Authorized Signatories (5) Ultimate Principal Beneficial Owners (6) Guarantors   | √                                 | √                                |
| <input type="checkbox"/>   | 下列人士之地址證明: (1) 董事 (2) 主要股東 (3) 獲授權人 (4) 獲授權簽署人 (5) 最終受益人 (6) 擔保人<br>Address proof of the followings: (1) Directors (2) Substantial Shareholders (3) Authorized Person (4) Authorized Signatories (5) Ultimate Principal Beneficial Owners (6) Guarantors  | √                                 | √                                |
| <input type="checkbox"/>   | 香港銀行賬戶詳情(直接存款)<br>Bank Account details (for direct deposit)   |                                   |                                  |
| <input type="checkbox"/>   | 最近期財務報告 (如適用)<br>Latest Audited Financial Statement (if applicable)   | √                                 | √                                |
| <input type="checkbox"/>   | 集團架構圖(如適用)<br>Group Chart (if applicable)   | √                                 | √                                |
| <input type="checkbox"/>   | 個人擔保書 **<br>Personal Guarantee Letter **  | √                                 | √                                |

**附註 Notes :**

- 以上文件副本須經由證監會認可專業人士 (本地持牌銀行經理、執業會計師、律師或公證人) 核證,且須提供專業資格證明。(中國律師/會計師及公證人須擁有專業資格,須提供相關證明及 登記號碼)  
A copy of the documents should be certified by designated persons (e.g. Branch manager of bank, a certified public accountant, Lawyer, or any other licensed person) and the proof of the professional qualification is required to provide. (PRC lawyer, accountant and notary public must have the professional qualification. Relevant proof and registered number must be provided)
- \*\* 須由董事或股東擔保 Must be guaranteed by director or shareholder