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總辦事處: 香港灣仔港灣道 30 號新鴻基中心 40 樓 4024 至 4033 室

Tel 電話: (852)2666 4666 Fax 傳真: (852)2666 4677

Website 網址 :www.mscl.hk

Account No 帳戶號碼: \_\_\_\_\_

**ACCOUNT OPENING FORM 開戶表格**  
**(Individual 個人 / Joint 聯名)**

 To: Mouette Securities Company Limited (“MSCL”)  
 致: 海盈證券有限公司 (「海盈證券」)

I/We hereby apply to Mouette Securities Company Limited to open and maintain one or more cash and/or margin securities and Futures trading account (“Account”) in my/our name for the purpose of instructing Mouette Securities Company Limited to buy and sell and otherwise deal with securities/Futures and other investments on my/our behalf and I/we have received and read the Terms and Conditions as stated in the Client Agreement (“Terms and Conditions”) and hereby accept and agree to be bound by the provisions of this Account Opening Form and the Terms and Conditions as may be amended and notified by Mouette Securities Company Limited from time to time.

本人 / 吾等謹此向海盈證券有限公司申請以本人 / 吾等的名義開設及維持現金及 / 或保證金證券和期貨交易帳戶 (「帳戶」), 以用作指示海盈證券有限公司代本人 / 吾等買賣及以其他方式處置證券和期貨及其他投資; 而本人 / 吾等已從海盈證券有限公司接獲載於客戶協議內的條款及條件 (「條款及條件」), 並謹此接納及同意受本開戶表格及海盈證券有限公司不時可能修訂及通知的條款及條件所約束。

*Should there be any discrepancies between the English and the Chinese versions, the English version shall prevail.*  
 如中英文版本之間有差異, 以英文版本為準。

**A. Account Type 帳戶類別**
*(Please check the appropriate box 請在適當空格勾選)*

<b>1. Type of Client 客戶身份</b>	<input type="checkbox"/> Individual Account 個人帳戶	<input type="checkbox"/> Joint Account 聯名帳戶
<b>2. Securities Account Type(s) 證券帳戶類別</b>	<input type="checkbox"/> Cash Account 現金帳戶 <input type="checkbox"/> Margin Account 保證金帳戶 <input type="checkbox"/> Internet Trading Service 網上交易服務 <input type="checkbox"/> Stock Connect Northbound Trading 滬深港通北向交易 <input type="checkbox"/> US Securities Trading 美國證券交易 <input type="checkbox"/> Discretionary Trading (Please complete <b>Appendix I</b> ) 全權委託交易 (請填寫 <b>附件I</b> )	
<input type="checkbox"/> Futures Account 期貨帳戶	<input type="checkbox"/> Discretionary Trading (Please complete <b>Appendix I</b> ) 全權委託交易 (請填寫 <b>附件I</b> )	
<input type="checkbox"/> Discretionary Asset Management Account (Please complete <b>Appendix I</b> ) 全權資產管理帳戶 (請填寫 <b>附件I</b> )		
<input type="checkbox"/> Professional Investor Account (Please complete <b>Individual/Corporate Professional Investor Assessment Form</b> ) 專業投資者帳戶 (請填寫 <b>個人/法團專業投資者評估表格</b> )		

**B. Client Information Statement 客戶資料聲明**
**1. Personal Information 個人資料**

Account Holder (1) 帳戶持有人(1)		Account Holder (2) 帳戶持有人(2)	
Chinese Name 中文姓名	先生 / 女士 / 小姐	Chinese Name 中文姓名	先生 / 女士 / 小姐
English Name 英文姓名	Mr. / Ms (Surname)	English Name 英文姓名	Mr. / Ms (Surname)
	(First Name)		(First Name)
Residential Address 住宅地址		Residential Address 住宅地址	
ID Card No. 身份證號碼	(For non-HKID card holder, please provide National ID Card No.) (如非持有香港身份證, 請提供國民身份證號碼)	ID Card No. 身份證號碼	(For non-HKID card holder, please provide National ID Card No.) (如非持有香港身份證, 請提供國民身份證號碼)
Passport No. 護照號碼	(Applicable to non-HKID card holder) (適用於非香港身份證持有人)	Passport No. 護照號碼	(Applicable to non-HKID card holder) (適用於非香港身份證持有人)

Place of Issue 簽發地方		Place of Issue 簽發地方	
Date of Birth 出生日期	(DD 日/MM 月/YYYY 年)	Date of Birth 出生日期	(DD 日/MM 月/YYYY 年)
Place of birth 出生地點		Place of birth 出生地點	
Nationality 國籍		Nationality 國籍	
Home Tel. No. 住宅電話號碼		Home Tel. No. 住宅電話號碼	
Mobile Phone No. 手提電話號碼		Mobile Phone No. 手提電話號碼	
Email Address 電郵地址		Email Address 電郵地址	
Marital Status 婚姻狀況		Marital Status 婚姻狀況	
		Relationship with Account Holder (1) 與帳戶持有人(1)的關係:	

**For Joint Account Only:** Required number of signatory for written directions in relation to operation of the account

只適用於聯名帳戶：就帳戶運作之書面指示所需簽字人：

Anyone 任何一位  All Required 全部

Note: Each of the joint account holders is authorized to give verbal instructions and/or instructions through electronic media in relation to trading.

注意：每一聯名帳戶持有人均有權為買賣發出口頭指示或透過電子媒介發出指示。

CCASS Investor Account No. (if any) 中央結算投資者戶口號碼 (如有):

## 2. Employment Status 工作狀況

Account Holder (1) 帳戶持有人(1)		Account Holder (2) 帳戶持有人(2)	
<input type="checkbox"/> Employed 受僱	<input type="checkbox"/> Retired 退休	<input type="checkbox"/> Self employed 自僱	<input type="checkbox"/> Unemployed 待業
<input type="checkbox"/> Full-time investor 全職投資者			
Name of Employer 僱主名稱		Name of Employer 僱主名稱	
Nature of Business 業務性質		Nature of Business 業務性質	
Occupation/Position 職業/職位		Occupation/Position 職業/職位	
Years of Service 任職年期		Years of Service 任職年期	
Business Address 辦公室地址		Business Address 辦公室地址	
Business Phone No. 公司電話號碼		Business Phone No. 公司電話號碼	

## 3. Financial Profile 財務狀況

Account Holder (1) 帳戶持有人(1)		Account Holder (2) 帳戶持有人(2)	
Liquid Assets (HKD) 流動資產 (HKD)	<input type="checkbox"/> ≤ HKD100,000 <input type="checkbox"/> HKD100,001 - HKD500,000 <input type="checkbox"/> HKD500,001 - HKD1,000,000 <input type="checkbox"/> HKD1,000,001 - HKD5,000,000 <input type="checkbox"/> HKD5,000,001 - HKD8,000,000 <input type="checkbox"/> > HKD8,000,000	Liquid Assets (HKD) 流動資產 (HKD)	<input type="checkbox"/> ≤ HKD100,000 <input type="checkbox"/> HKD100,001 - HKD500,000 <input type="checkbox"/> HKD500,001 - HKD1,000,000 <input type="checkbox"/> HKD1,000,001 - HKD5,000,000 <input type="checkbox"/> HKD5,000,001 - HKD8,000,000 <input type="checkbox"/> > HKD8,000,000
Total Net Value of Assets (HKD) 資產淨值 (HKD)	<input type="checkbox"/> ≤ HKD100,000 <input type="checkbox"/> HKD100,001 - HKD500,000 <input type="checkbox"/> HKD500,001 - HKD1,000,000 <input type="checkbox"/> HKD1,000,001 - HKD5,000,000 <input type="checkbox"/> HKD5,000,001 - HKD8,000,000 <input type="checkbox"/> > HKD8,000,000	Total Net Value of Assets (HKD) 資產淨值 (HKD)	<input type="checkbox"/> ≤ HKD100,000 <input type="checkbox"/> HKD100,001 - HKD500,000 <input type="checkbox"/> HKD500,001 - HKD1,000,000 <input type="checkbox"/> HKD1,000,001 - HKD5,000,000 <input type="checkbox"/> HKD5,000,001 - HKD8,000,000 <input type="checkbox"/> > HKD8,000,000
Annual Income (HKD) 每年收入 (HKD)	<input type="checkbox"/> ≤ HKD100,000 <input type="checkbox"/> HKD100,001 - HKD200,000 <input type="checkbox"/> HKD200,001 - HKD500,000 <input type="checkbox"/> HKD500,001 - HKD1,000,000 <input type="checkbox"/> > HKD1,000,000	Annual Income (HKD) 每年收入 (HKD)	<input type="checkbox"/> ≤ HKD100,000 <input type="checkbox"/> HKD100,001 ~ HKD200,000 <input type="checkbox"/> HKD200,001 ~ HKD500,000 <input type="checkbox"/> HKD500,001 ~ HKD1,000,000 <input type="checkbox"/> > HKD1,000,000



**6. Tax Residency 稅務居民資料**

## Jurisdiction of Residence and Taxpayer Identification Number or Its Functional Equivalent (“TIN”)

居留司法管轄區及稅務編號或具有等同功能的識辨編號（「稅務編號」）

Please complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the account holder is a resident for tax purposes and (b) the account holder’s Tax Identification Number (TIN) for each jurisdiction indicated. Indicate all (not restricted to three) jurisdictions of residence.

請提供以下資料，列明 (a) 帳戶持有人的居留司法管轄區（香港包括在內）及 (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（不限於3個）居留司法管轄區。

Jurisdiction of Residence 居留司法管轄區	TIN 稅務編號	*Reason for no TIN (Reason A, B or C) 沒有稅務編號的理由 (理由A、B或C)	Explain why the account holder is unable to obtain a TIN if you have selected Reason B 如選擇理由B，解釋帳戶持有人不 能取得稅務編號的原因
<b>Account Holder (1) 帳戶持有人(1)</b>			
(1)			
(2)			
(3)			
<b>Account Holder (2) 帳戶持有人(2)</b>			
(1)			
(2)			
(3)			

- \* **Reason A:** The country/jurisdiction where you are a resident for tax purposes does not issue TINs to its residents.  
**理由A:** 閣下所屬的稅務居民的國家／司法管轄區沒有向其居民發出稅務編號。  
**Reason B:** You are unable to obtain a TIN. Explain why you are unable to obtain a TIN if you have selected this reason.  
**理由B:** 閣下無法獲得稅務編號。如選擇此理由，請解釋閣下無法獲得稅務編號的原因。  
**Reason C:** No TIN is required. Select this reason only if the authorities of the country of tax residence do not require the TIN to be disclosed.  
**理由C:** 無需稅務編號。稅務居民國家的主管機關不需要閣下披露稅務編號。

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

本人知悉及同意，海盈證券可根據《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 certify that I am the account holder of all the account(s) to which this form relates.

本人證明，就與本表格所有相關的帳戶，本人是帳戶持有人。

I undertake to advise MSCL 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 MSCL with a suitably updated self-certification form within 30 days of such change in circumstances.

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，本人會通知海盈證券，並會在情況發生改變後30日內，向海盈證券有限公司提交一份已適當更新的自我證明表格。

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.

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。

**WARNING:** It is an offence under section 80(2E) of the Inland Revenue Ordinance of Hong Kong 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).

**警告：**根據香港《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。

**7. Disclosure and Declaration of Identity 身份披露及聲明**

	Account Holder (1) 帳戶持有人(1)	Account Holder (2) 帳戶持有人(2)
1. You are not a U.S. citizen or resident. 閣下確認並非為美國公民或居民。	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是

<p>2. You are the ultimate and sole beneficial owner(s) of the Account(s) and are fully responsible for all instructions for the operation of the Account(s). 閣下是否為帳戶的最終及唯一實益擁有人，並完全負責為該(等)帳戶運作所發出的一切指示。</p>	<p><input type="checkbox"/> No 否      <input type="checkbox"/> Yes 是</p>	<p><input type="checkbox"/> No 否      <input type="checkbox"/> Yes 是</p>
<p>3. Do you have any relationship with the director(s) or employee(s) of MSCL or their respective associated companies? 閣下是否與海盈證券或其各自之聯營公司之董事或僱員有任何關係?</p>	<p><input type="checkbox"/> No 否      <input type="checkbox"/> Yes 是</p> <p>Name of Director or Employee: 該董事或僱員姓名:</p> <p>_____</p> <p>Relationship 關係:</p> <p>_____</p>	<p><input type="checkbox"/> No 否      <input type="checkbox"/> Yes 是</p> <p>Name of Director or Employee: 該董事或僱員姓名:</p> <p>_____</p> <p>Relationship 關係:</p> <p>_____</p>
<p>4. Are you a director or an employee or an accredited person of any Exchange Participant of the Hong Kong Exchanges and Clearing Limited or any licensed or registered person of the Securities and Futures Commission? 閣下是否香港交易所之交易所參與者或證監會之持牌人或註冊人之董事、僱員或認可人士?</p> <p><i>(If yes, please provide the written consent from the Employer for this account opening.)</i> <i>(如是，請提供就開立本帳戶之僱主同意書。)</i></p>	<p><input type="checkbox"/> No 否      <input type="checkbox"/> Yes 是</p> <p>Name of Licensed or Registered Person: 該持牌或註冊人士姓名:</p> <p>_____</p> <p>CE No. 中央編號:</p> <p>_____</p>	<p><input type="checkbox"/> No 否      <input type="checkbox"/> Yes 是</p> <p>Name of Licensed or Registered Person: 該持牌或註冊人士姓名:</p> <p>_____</p> <p>CE No. 中央編號:</p> <p>_____</p>
<p>5. Are you a Political Exposed Person (PEP) or related to a Political Exposed Person? 閣下是否政界人士或與政界人士相關連人士?</p>	<p><input type="checkbox"/> No 否      <input type="checkbox"/> Yes 是</p> <p>Please specify 請註明:</p> <p>_____</p>	<p><input type="checkbox"/> No 否      <input type="checkbox"/> Yes 是</p> <p>Please specify 請註明:</p> <p>_____</p>

**8. Related Client 關聯客戶 (For Securities Margin 證券保證金  Future Account 期貨  帳戶適用)**

<p>1. Does the spouse of you have a margin or future account with MSCL? 閣下的配偶是否持有海盈證券的保證金或期貨帳戶?</p>	<p><input type="checkbox"/> No 否      <input type="checkbox"/> Yes 是</p> <p>Name of the Spouse 配偶姓名:</p> <p>_____</p> <p>Account No. 帳戶號碼:</p> <p>_____</p>	<p><input type="checkbox"/> No 否      <input type="checkbox"/> Yes 是</p> <p>Name of the Spouse 配偶姓名:</p> <p>_____</p> <p>Account No. 帳戶號碼:</p> <p>_____</p>
<p>2. Do you control, either alone or with your spouse, 35% or more of the voting rights of another margin client of MSCL? 閣下是否單獨或與配偶共同控制控制海盈證券其他保證金客戶之百分之三十五或以上的投票權?</p>	<p><input type="checkbox"/> No 否      <input type="checkbox"/> Yes 是</p> <p>Account Name 帳戶名稱:</p> <p>_____</p> <p>Account No. 帳戶號碼:</p> <p>_____</p>	<p><input type="checkbox"/> No 否      <input type="checkbox"/> Yes 是</p> <p>Account Name 帳戶名稱:</p> <p>_____</p> <p>Account No. 帳戶號碼:</p> <p>_____</p>
<p>3. Do you belong to the same group of companies as another company which is a margin client of MSCL? 閣下是否為某一集團公司之一成員公司，而該成員公司是海盈證券的保證金客戶?</p>	<p><input type="checkbox"/> No 否      <input type="checkbox"/> Yes 是</p> <p>Name of the Relevant Company(ies) 有關公司名稱:</p> <p>_____</p> <p>Account No. 帳戶號碼:</p> <p>_____</p>	<p><input type="checkbox"/> No 否      <input type="checkbox"/> Yes 是</p> <p>Name of the Relevant Company(ies) 有關公司名稱:</p> <p>_____</p> <p>Account No. 帳戶號碼:</p> <p>_____</p>

**9. Standing Authority (Client Money and Client Securities) 常設授權 (客戶款項及客戶證券)**

**Client Money Standing Authority 客戶款項常設授權**  
This Client Money Standing Authority is given pursuant to the Securities and Futures (Client Money) Rules, which covers money held or received by MSCL in Hong Kong (including any interest derived from the holding of the money which does not belong to MSCL) in one or more

segregated account(s) on my/our behalf (the "Monies").

本客戶款項常設授權根據《證券及期貨(客戶款項)規則》涵蓋海盈證券在香港代表本人/吾等開立的一個或多個獨立帳戶中持有或收到的款項(包括因持有任何不論是否屬於海盈證券的款項所獲取的利息)(下稱「款項」)。

I/We hereby authorize MSCL to do any of the following without giving me/us notice (unless instructed otherwise):

本人/吾等謹此授權海盈證券在無須向本人/吾等發出通知的情況下作出以下任何行動(除非另有指示):

- (a) combine or consolidate any or all segregated accounts, of any nature whatsoever, maintained by MSCL and/or its Affiliates (as defined in "Terms and Conditions") and MSCL may transfer any sum of Monies to and between such segregated account(s) to satisfy my/our Liabilities (as defined in "Terms and Conditions") to MSCL and/or its Affiliates, whether such Liabilities are actual or contingent, primary or collateral, secured or unsecured, or joint or several;  
組合或合併本人/吾等於海盈證券及/或其聯屬人(定義見「條款及細則」)所開設的任何獨立帳戶。海盈證券可將該等獨立帳戶內任何數額之款項作出轉移,以結清本人/吾等對海盈證券及/或其聯屬人的負債(定義見「條款及細則」),不論此等負債是確實或突然的、原有或附帶的、有抵押或無抵押的、共同或分別的;
- (b) set-off or transfer any sum of Monies interchangeably between any of the segregated accounts maintained at any time by MSCL and/or its Affiliates towards satisfaction of any of my/our Liabilities to MSCL and/or its Affiliates;  
海盈證券可於任何時候維持的獨立帳戶之間抵銷或來回調動任何數額之款項,以結清本人/吾等對海盈證券及/或其聯屬人的負債;
- (c) transfer any funds standing from time to time in any account maintained at any time by me/us with MSCL and/or its Affiliates to the Account (as defined in "Terms and Conditions") and/or to any other account maintained at any time by me/us with MSCL; and  
將本人/吾等於任何時間在海盈證券及/或其聯屬人的帳戶不時的任何資金轉入至帳戶(定義見「條款及細則」)及/或本人/吾等於任何時間在海盈證券及/或其聯屬人維持的任何其他帳戶;
- (d) transfer my/our Monies held or received by MSCL in Hong Kong to a segregated account outside Hong Kong.  
將海盈證券在香港為本人/吾等持有或收到的款項轉移到香港以外的獨立帳戶。
- (e) to pay/transfer any sum of the Client Monies to any agent broker(s) and/or clearing firm(s) in Hong Kong or overseas and their successors and assigns for the purpose of trading or meeting the settlement or margin requirement (if applicable) of my/our local and my/our overseas securities and/or futures transactions; and/or.  
將任何金額之客戶款項支付/轉帳予任何本地及/或海外的經紀商及/或結算公司及其繼承人及受讓人,以作為我(們)買賣本地及/或海外證券及/或期貨交易之用,或履行交收或保證金的要求(如適用);及/或。
- (f) to transfer any sum of the Client Monies interchangeably between any of the segregated accounts maintained at any time by MSCL, for the purpose of trading or meeting the settlement or margin requirement (if applicable) of my/our local and/or overseas securities and/or futures transactions; and/or.  
從海盈證券於任何時間維持的任何獨立帳戶之間來回調動任何數額之客戶款項,以作為我(們)買賣本地及/或海外證券及/或期貨交易之用,或履行交收或保證金的要求(如適用);及/或。
- (g) exchange my/our Monies into any other currency(ies) at the rate of exchange conclusively determined by MSCL.  
將本人/吾等的款項以海盈證券最終確定的匯率兌換成任何其他貨幣。

This Client Money Standing Authority is given to MSCL in consideration of its agreeing to continue to maintain securities cash and/or margin Futures account(s) for me/us.

本客戶款項常設授權是建基於海盈證券同意繼續維持本人/吾等的證券現金帳戶及/或證券保證金帳戶/期貨帳戶。

This Client Money Standing Authority is given without prejudice to other authorities or rights which MSCL and/or its Affiliates may have in relation to dealing in Monies in the segregated accounts.

本客戶款項常設授權的授予並不影響海盈證券及/或其聯屬人就處理獨立帳戶中的款項所擁有的其他授權或權利。

Client Securities/Futures Standing Authority 客戶證券/期貨常設授權 (Applicable to the Securities/Futures Margin Accounts Clients) (適用於證券期貨保證金帳戶的客戶)

This Client Securities Standing Authority is given pursuant to the Securities and Futures (Client Securities) Rules and is in respect of the treatment of the Client's securities or securities collateral as set out below.

本客戶證券常設授權根據《證券及期貨(客戶款項)規則》而訂,並按下述方式處理客戶的證券或證券抵押品:

I/We authorize MSCL to do any of the following without giving me/us notice (unless instructed otherwise):

本人/吾等授權海盈證券在無須向本人/吾等發出通知的情況下作出以下任何行動(除非另有指示):

- (a) apply any of my/our securities or securities collateral pursuant to securities borrowing and lending agreement(s) or securities repurchase agreement(s);  
依據證券借貸協議或證券回購協議運用本人/吾等任何的證券或證券抵押品;
- (b) deposit any of my/our securities collateral with an authorized financial institution(s) as collateral for financial accommodation provided to MSCL; and/or  
將本人/吾等的任何證券抵押品存放於一間認可財務機構,作為提供予海盈證券的財務通融的抵押品;及/或
- (c) deposit any of my/our securities collateral with a recognized clearing house or another intermediary licensed or registered for dealing in securities as collateral for the discharge and satisfaction of MSCL's settlement obligations and liabilities.  
將本人/吾等的任何證券抵押品存放於認可結算所或另一獲發牌或獲註冊進行證券交易的中介人,作為向海盈證券解除和清償交收上的責任及義務的抵押品;
- (d) apply or deposit any of my/our securities/Futures collateral in accordance with Clauses (a), (b) and/or (c) above if MSCL provides financial accommodation to me/us in the course of dealing in securities/Futures and also provides financial accommodation to me/us in the course of any other regulated activity for which MSCL is licensed or registered.  
若海盈證券在進行證券交易過程中以及在進行任何其他獲發牌或獲註冊的受規管活動過程中,向本人/吾等提供財務通融,可根據上述(a)、(b)及/或(c)款運用或存放本人/吾等的任何證券抵押品。

I/We understand that the recognized clearing house or the intermediary licensed or registered for dealing in securities and Futures will have a first fixed charge over my/our securities collateral to the extent of MSCL's obligations and liabilities;

本人/吾等明白認可結算所或其他獲持牌或獲註冊進行證券/期貨交易的中介人,將因應海盈證券在交收上的義務及責任對本人/吾等的

證券抵押品設定為第一固定抵押權；

This Client Securities Standing Authority does not cover any consideration I/we must pay or be paid for MSCL's borrowing, lending, or depositing any of my/our securities. Any consideration must be set in a separate agreement between us.

本客戶證券常設授權並不涵蓋就海盈證券借入、貸出或存放本人/吾等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/吾等與海盈證券另行簽約訂明。

MSCL is accountable to me/us for the return of any of my/our securities borrowed, lent, or deposited under this Client Securities Standing Authority.

海盈證券須向本人/吾等就交還有關根據本客戶證券常設授權而作出借入、貸出或存放之證券負責。

I/We understand that a third party may have rights to my/our securities, which MSCL must satisfy before my/our securities can be returned to me/us.

本人/吾等明白，本人/吾等的證券可能受制於第三方的權利，海盈證券須在清償該等權利後，方可將本人/吾等的證券退回給本人/吾等。

#### General Terms to Standing Authority (Client Money and Client Securities/Futures)

##### 常設授權（客戶款項及客戶證券/期貨）通用條款

Unless otherwise defined, the terms used in this Standing Authority (Client Money and Client Securities) (“**Standing Authority**”) shall have the same meanings as in the Securities and Futures Ordinance, the Securities and Futures (Client Securities) Rules and the Securities and Futures (Client Money) Rules as amended from time to time.

除非另有定義，本常設授權（客戶款項及客戶證券）（「**常設授權**」）所使用的術語應與不時修訂的《證券及期貨條例》、證券及期貨（客戶證券）和證券及期貨（客戶款項）規則中的定義相同。

This Standing Authority is valid for a period of 12 months from the date hereof. I/We may revoke the Standing Authority by giving writing notice to MSCL, such notice shall take effect upon the expiry of 14 days from the date of MSCL's actual receipt of such notice.

本常設授權自即日起生效，有效期為 12 個月。本人/吾等可以向海盈證券發出書面通知以撤回該常設授權。有關撤回該常設授權通知之生效日期為海盈證券實際收到該等通知後之 14 日起計。

I/We understand that this Standing Authority shall be deemed to be renewed 12 months on a continuing basis without my/our written consent if MSCL issues me/us a written reminder at least 14 days prior to the expiry date of this Standing Authority, and I/we do not object to such deemed renewal before such expiry date.

本人/吾等明白倘若海盈證券在本常設授權有效期屆滿前最少 14 日，會向本人/吾等發出書面通知，提醒本人/吾等該常設授權即將屆滿，而本人/吾等沒有在該常設授權屆滿日前對該常設授權的續期表示反對，該常設授權應當作在不需要本人/吾等的書面同意下按持續的基準已續期 12 個月。

I/We hereby acknowledge and confirm that this Standing Authority has been explained to me/us and I/We understand and agree with the content of this Standing Authority.

本人/吾等謹此承認並確定海盈證券已經向本人/吾等解釋了本常設授權的內容。本人/吾等明白及同意本常設授權的內容。

(1)

Account Holder (1)'s Signature  
帳戶持有人(1) 簽署

(2)

Account Holder (2)'s Signature  
帳戶持有人(2) 簽署

## 10. Declaration of Collection and Use of Personal Data 個人資料收集及使用聲明

### Declaration of Collection and Use of Personal Data for Direct Marketing 收集及使用個人資料作直接促銷聲明

I/We hereby acknowledge and understand the privacy policy of Mouette Securities Company Limited set out in that the “Notice to Customers Relating to the Personal Data (Privacy) Ordinance”, “GDPR Privacy Statements” (where applicable) and “Notice to Customers Relating to the Use of Personal Data Relating to Tax Compliance” contained in the Terms and Conditions (collectively referred to as “**Privacy Policy**”). I/We acknowledge and agree that the personal data collected by Mouette Securities Company Limited from time to time may be used and disclosed for such purpose and to such persons (whether in or outside Hong Kong) as set out in the Privacy Policy and Mouette Securities Company Limited may use my/our personal data for direct marketing. I/we hereby:-

本人/吾等謹此確認及明白海盈證券有限公司於條款及條件中「關於《個人資料（私隱）條例》的客戶通知」、「歐盟個人資料保護規則（GDPR）私隱政策聲明」（如適用）及「關於就稅務合規使用個人資料的客戶通知」所載之私隱政策（統稱「**私隱政策**」）。本人/吾等確認及同意由海盈證券有限公司不時蒐集的個人資料可按照私隱政策用於其所述用途及向其所述人士（不論在香港境內或境外）披露。本人/吾等：

Agree 同意     Do Not Agree 不同意

to the proposed use of my/our personal data for direct marketing.

本人/吾等的個人資料被使用作直接促銷用途。

### Personal Information Collection Statement Concerning Hong Kong Identification Regime and Over-the-counter Securities Transactions Reporting Regime

#### 香港投資者識別碼制度及場外證券交易匯報制度的個人資料收集聲明

I/We hereby acknowledge that I/we have read and understand the Privacy Policy and the content of the Personal Information Collection Statement Concerning Hong Kong Identification Regime and Over-the-counter Securities Transactions Reporting Regime. I/we hereby:

本人/吾等確認本人/吾等已閱讀並了解有關私隱政策及個人資料收集用於香港投資者識別碼制度及場外證券交易匯報制度的內容。

本人/吾等：

Agree 同意  Do Not Agree\* 不同意\*

MSCL to use of my/our personal data for the purposes set out in the Personal Information Collection Statement.

海盈證券將本人/吾等之個人資料用於個人資料收集聲明所載的目的。

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

*\* 如閣下未能向海盈證券提供個人資料或上述同意，可能意味著海盈證券將不會或不能夠再（視情況而定）執行閣下的交易指示或向閣下提供證券相關服務，惟出售、轉出或提取閣下現有的證券持倉（如有）除外。*

**Personal Information Collection Statement Concerning Northbound China Connect Orders**  
**中華通北向交易指示的個人資料收集聲明**

I/We hereby acknowledge that I/we have read and understand the Privacy Policy and the content of the Personal Information Collection Statement Concerning Stock Connect Northbound Trading. I/we hereby:

本人/吾等確認本人/吾等已閱讀並了解有關私隱政策及個人資料收集用於中華通北向交易的內容。本人/吾等：

Agree 同意  Do Not Agree\* 不同意\*

MSCL to use of my/our personal data for the purposes set out in the Personal Information Collection Statement.

海盈證券將本人/吾等之個人資料用於個人資料收集聲明所載的目的。

I/We confirm that I/we am/are neither the holder of identity documents issued by Mainland China nor the corporate/unincorporated entities registered in Mainland China.

本人/吾等確認本人/吾等並非持有中國內地身份證明文件，以及並非為在中國內地註冊的法人及非法人組織。

*\* Failure to provide us with your personal data or consent as described above may mean that MSCL will not, or no longer be able, as the case may be, to carry out your trading instructions or provide you with our Stock Connect Northbound Trading Service.*

*\* 如閣下未能向海盈證券提供個人資料或上述同意，意味著海盈證券將不能或不能再執行閣下的交易指示(視情況而定)或向閣下提供滬港通及深港通北向交易服務。*

**C. Acknowledgement, Declaration & Signatures 承諾、聲明及簽署**

The undersigned hereby acknowledges, declares and confirms that:

以下簽署人謹此承諾、聲明並確認：

1. The information in this Account Opening Form (the "Form") is true, complete and correct and MSCL is entitled to rely fully on such information for all purposes relating to the Account(s) and the transactions contemplated by the Terms and Conditions, unless the undersigned informs MSCL in writing of any change to that information. MSCL is authorized at any time to contact anyone, including the undersigned's bankers, brokers or any credit agency, for the purposes of verifying the information provided in this Form. The undersigned undertakes to notify MSCL promptly in case of any change of information;

本開戶表格(「表格」)內所提供之全部資料屬真實、完整及為正確無誤。除非海盈證券接到更改有關本表格內容的書面通知，否則海盈證券有權全面依賴此等資料就有關帳戶及按照條款及條件預計進行的交易作任何用途。海盈證券有權隨時聯絡以下簽署人之銀行、經紀或任何信貸機構作核實本表格之用途。倘資料有任何更改，以下簽署人承諾盡快知會海盈證券；

2. The undersigned has received, read and understood the Terms and Conditions (including the schedules, appendices and annexes thereto, if any), and the undersigned accepts and agrees to abide by the Terms and Conditions, the Securities and Futures Ordinance and the subsidiary legislations, rules, guidelines and codes made thereunder, and the rules and regulations of any relevant exchange company(ies), clearing house(s) and exchange controller(s) (including but not limited to the Stock Exchange of Hong Kong Limited (SEHK) and the Hong Kong Securities Clearing Company Limited (HKSCC), whichever is applicable) and regulatory body(ies) in Hong Kong and/or overseas as amended from time to time governing the transactions in the Account.  
以下簽署人已收到、閱讀及明白一切條款及條件(包括其附表、附錄及附件(如有))，且接納並同意遵守該等條款及條件、證券及期貨條例及其附屬法例、以及相關交易所、結算所及控制人(包括但不限於香港聯合交易所、香港中央結算，如適用)及香港及/或海外監管機構不時修訂以規管於該帳戶進行的交易之條例及規則，並受其約束約束；

3. The risk disclosure statements and disclaimers (as contained in the Terms and Conditions) were provided and explained to the undersigned in a language of the undersigned's choice (English or Chinese) and the undersigned has been invited to read them carefully, ask questions and seek independent advice if the undersigned so wishes. The undersigned also confirms that the undersigned has retained a copy of the above for the undersigned's reference;

風險披露聲明及免責聲明（載於條款及條件內）已按以下簽署人選擇的語言（英文或中文）的版本提供並解釋予以下簽署人，及以下簽署人已獲邀請閱讀此等文件，並按其意願提出問題及諮詢獨立意見。以下簽署人確認已經保留此等文件副本乙份，以作備考之用；

4. The documentation on the Nasdaq-Amex Pilot Program as set out in the Terms and Conditions has been provided to the undersigned in a language of the undersigned's choice.  
條款及條件內所載的納斯達克—美國證券交易所試驗計劃的文件已按以下簽署人選擇的語言提供予以下簽署人；
5. The undersigned undertakes to promptly notify MSCL if the undersigned becomes employed by any licensed or registered person with Securities and Futures Commission Hong Kong;  
倘以下簽署人受聘於香港證券及期貨事務監察委員會發牌或註冊的任何人士，則以下簽署人承諾盡快通知海盈證券；
6. The undersigned is over 18 years of age. The undersigned is the ultimate and sole beneficial owner(s) of the Account(s) and is fully responsible for all instructions for the operation of the said Account(s).  
以下簽署人已年滿十八歲。以下簽署人為帳戶的最終及唯一實益擁有人，並完全負責為該(等)帳戶運作所發出的一切指示。
7. The undersigned declares that the undersigned is not a United States resident for Foreign Account Tax Compliance Act (FATCA) purposes, and the income to which the said Account(s) related is not subjected to tax under FATCA. The undersigned undertakes to notify MSCL and relevant authorities within 30 days for any change of circumstances stated in the W8BEN Form, without which the undersigned agrees that the W8BEN Form will be deemed renewed. The undersigned shall fully indemnify and hold harmless MSCL from and against all claims, damages, losses, costs and expenses whatsoever incurred as a result of providing misleading or false information or otherwise failing to comply with any requirement under FATCA and any other Foreign Law Requirement.  
以下簽署人聲明其並非《海外帳戶稅收合規法案》下所定義的美國人士，而且此帳戶下之相關的收入依《海外帳戶稅收合規法案》毋須扣繳稅款。以下簽署人承諾如於W8BEN表格中的情況有任何更改，以下簽署人須於30天內通知海盈證券相關部門，否則以下簽署人同意該W8BEN表格會被當作續期。以下簽署人亦同意悉數對海盈證券因以下簽署人提供含誤導成分或錯誤的資料，或並無遵守海外帳戶稅收合規法案及任何其他外國法規規定的情況下而蒙受的任何索償、損害、損失、費用及開支作出彌償並保證其利益不受損害。
8. The undersigned acknowledges and confirms that the undersigned has read and understood the privacy policy of MSCL set out in "Notice to Customers Relating to the Personal Data (Privacy) Ordinance", "GDPR Privacy Statements" (where applicable) and "Notice to Customers Relating to the Use of Personal Data Relating to Tax Compliance" contained in the Terms and Conditions (collectively referred to as "Privacy Policy"). Unless the undersigned does not agree to the use of personal data for the proposed purpose by ticking the box in Section 10 of this Form, the undersigned acknowledges and consents to the use and/or transfer of the undersigned's personal data for the purpose as set out in the Privacy Policy.  
以下簽署人確認已閱讀並明白條款及條件中「關於《個人資料（私隱）條例》的客戶通知」、「歐盟個人資料保護規則（GDPR）私隱政策聲明」（如適用）及「關於就稅務合規使用個人資料的客戶通知」所載之私隱政策（統稱「私隱政策」）。除非以下簽署人於本表格第10部表示不同意海盈證券使用其個人資料，否則以下簽署人確認及同意海盈證券可根據私隱政策所述用途而使用及轉移以下簽署人的個人資料。
9. The undersigned has the authority and power and legal capacity to sign this Account Opening Form, to maintain and operate the Account(s), to effect the transactions contemplated by the Terms and Conditions, and to perform all the undersigned's obligations under this Account Opening Form and the Terms and Conditions, and this Account Opening Form and the Terms and Conditions constitute valid and legally binding obligations on the undersigned enforceable in accordance with their respective terms; and  
以下簽署人獲授權，並有權力和法定身份去簽署本開戶表格、保留及操作帳戶（一個或多個）、進行條款及條件預計進行的交易，及根據本開戶表格以及其條款及條件履行以下簽署人的所有義務，而本開戶表格以及其條款及條件按照其各自的條款，構成對以下簽署人可強制執行的有效和具有法律約束力的義務；及
10. For joint account only: Each joint account holder agrees that instructions may be given to Mouette Securities Company Limited by any one of the joint account holders and hereby declares that the Joint Account(s) are held by the joint account holders with right of survivorship.  
只適用於聯名帳戶：各聯名帳戶持有人同意，任何一名聯名帳戶持有人均可向海盈證券有限公司發出指示，及謹此聲明，該聯名帳戶是以存續之聯名帳戶持有人享有全部所有權的方式持有。
11. The undersigned acknowledges that the undersigned has carefully read and fully understood the contents of the Risk Disclosure Statements as stated in the Terms and Conditions, in particular the undersigned fully understands the nature and risks associated with derivative product(s). The undersigned confirms and accepts the explanation of risks in trading different derivative products provided by MSCL. If the undersigned decides to trade in derivatives products, the undersigned agrees to bear the risks involved. The undersigned confirms that the undersigned shall make the undersigned's own risk assessment, or seek independent professional advice before trading in derivative product(s), and that the undersigned has sufficient net worth to be able to assume the risks and bear the potential losses for the undersigned's trades in derivatives product(s).

以下簽署人確認已細心閱讀及完全明白載於條款及條件內的風險披露聲明之一切內容，尤其以下簽署人已完全了解當中提及衍生產品之性質及相關風險。以下簽署人確認接受海盈證券就有關交易各類衍生產品作出之風險解釋。如果以下簽署人決定買賣該等衍生產品時，以下簽署人同意承擔有關風險。以下簽署人確認在買賣衍生產品前，將會進行自我風險評估或尋求獨立專業意見，並擁有足夠資本承擔有關風險及損失。

12. The undersigned hereby authorizes MSCL, in its sole discretion and without having to provide the undersigned with any prior notice or to obtain any prior confirmation and/or direction from the undersigned, to transfer any fund (including interest derived), securities and Futures/or securities collateral among the undersigned's account(s) opened with MSCL for settlement purpose and/or for the satisfaction of any margin requirements, or satisfying my/our obligations or liabilities to MSCL, whether such obligations or liabilities are actual or contingent, primary or collateral, secured or unsecured or joint or several.  
以下簽署人授權海盈證券可按其絕對酌情權，毋須向以下簽署人提供任何事先通知或獲取以下簽署人的事先確認及／或指示，而將全部或任何部分款項（包括衍生利息）、證券及期貨／或證券抵押品從以下簽署人於海盈證券開立的帳戶中相互轉帳以作為交收及／或滿足任何保證金要求、或以履行以下簽署人對海盈證券的義務或法律責任，無論此等義務或法律責任為確實或或然的、原有或附帶的、有抵押或無抵押的、共同或分別的。
13. MSCL shall have absolute rights to change, amend, delete or substitute any of the terms and provisions of Terms and Conditions and publish on MSCL's website. The undersigned should pay attention to the announcement/notice promulgated on MSCL's website from time to time. All the aforesaid change, amendment, deletion or substitution shall come into effect upon the undersigned's receipt or deemed receipt of Mouette Securities Company Limited's notification on such revision and shall be taken as forming part of Terms and Conditions. The undersigned may raise written objection within 14 days after the aforesaid receipt or deemed receipt of the notification, otherwise the undersigned shall be deemed to have accepted such amendment.  
海盈證券有絕對之權利不時更改、修訂、刪除或取替條款及細則的任何內容，並刊載於海盈證券網頁內，以下簽署人應不時留意海盈證券網頁刊載的公告及通知。所有有關更改、修訂、刪除或取替於客戶接獲或被視為接獲海盈證券之通告時立即生效，並列入於該等條款內。客戶可於接獲或被視為接獲海盈證券之通告後十四天內以書面形式向海盈證券提出反對，否則會被視為接受該改動。
14. MSCL may post the specifications and information relating to the relevant securities/futures on its website from time to time and the same shall be binding on the undersigned. Mouette Securities Company Limited shall not be held liable for any error, loss, expenses, damages or loss of profit suffered by the undersigned as a result of any omission of such specifications and information or delay in notifying such specifications and information. The undersigned hereby confirms that the undersigned has read and fully understood such specifications and information in a language of the undersigned's choice. The undersigned also confirms that the undersigned has been invited to ask questions in writing and take independent advice.  
海盈證券不時於其網頁內刊載有關於證券/期貨之規格及資料，該等規格及資料對以下簽署人有約束力。海盈證券不須對該等規格及資料的錯誤、遺漏或延誤通知令以下簽署人蒙受的任何損失、開支、賠償或失去任何利潤，向以下簽署人負責或承擔任何法律責任。以下簽署人現確認已詳細閱讀按照以下簽署人選擇的語言所提供之該等規格及資料。以下簽署人亦確認已獲邀請透過書面途徑提出問題及尋求獨立意見。
15. The undersigned agrees to indemnify, and to keep indemnified, MSCL and its directors, employees and representatives from and against any losses, liabilities, damages, interests, costs, expenses, actions, demands, claims or proceedings of whatsoever nature which they (or any of them) may incur, suffer and/or sustain as a consequence of any transaction undertaken in pursuance to above authority.  
以下簽署人謹此同意就海盈證券因執行上述授權而可能產生、蒙受及/或承受的一切虧損、責任、損失、利息、費用、開支、訴訟、要求、索償或法律程序等向海盈證券及其董事、職員及代表作出賠償，並保障該公司免受損害。
16. The undersigned hereby acknowledges and agrees that the requested information and documents should be obtained from the undersigned prior to account opening. If the information and the required documents are not obtained and identity verification is not completed within 30 working days after opening the Account, the Account may be suspended until all required information is obtained. If identity verification is not completed within 90 working days after opening the Account, the Account may be terminated.  
以下簽署人明白及同意需於開立帳戶前提交所需的文件/資料。如未能於開立帳戶後 30 個工作天內提交有關資料及文件並完成身分核實程序，帳戶可被凍結直至取得有關資料。如在 90 個工作天內仍未能完成身分核實程序，帳戶可被終止。
17. The undersigned understands that the undersigned might be required to provide additional information or submit documentary proof as to the information provided in this application as and when requested by MSCL.  
以下簽署人明白須隨時應海盈的要求提供進一步資料或就此申請書上所提供的資料呈遞書面證明。
18. The undersigned further declares that the Account(s) was/were opened at the undersigned's free will and MSCL's staff, account executive and/or associate has not carried on any unsolicited calls on the undersigned.  
以下簽署人進一步聲明在訂立任何契約時，以下簽署人是在絕對自願的情況下開設帳戶，而海盈證券之職員、客戶主任及/或其夥伴並沒有對以下簽署人作出任何未獲邀約之造訪行為。

19. For giving discretionary/standing authority only: The undersigned acknowledges and confirms that the undersigned has given the discretionary/standing authority to authorize MSCL to deal with the undersigned's securities and monies. The contents of the discretionary/standing authority have been explained to the undersigned and the undersigned fully understands and agrees the contents of it.

只適用於全權委託/常設授權：以下簽署人承認並確定以下簽署人已授予海盈證券全權委託/常設授權以處置其證券及款項，以下簽署人已就該全權委託/常設授權的內容獲得解釋，並且完全明白及同意其內容。

20. Charge of securities and futures: All securities and futures which are now or shall at any time hereafter be held or carried by the MSCL or its nominees for or on the Client's account and all money and other property at any time held by the MSCL for safe-keeping, as margin or otherwise on behalf of the Client shall be charged to or held by the MSCL for the benefit of the MSCL as a first priority fixed continuing security for the payment and/or discharge to the MSCL of all and any of the Client's liabilities to the MSCL whatsoever (whether on the Margin Account, arising from the business of dealing in securities and dealing in futures or the financing of such dealing or otherwise and whether actual or contingent, present or future, primary or collateral, and several or joint) and with respect to such security.

證券和期貨的押記:現時或今後任何時候由海盈證券或其代名人為了或代表客戶持有或保管的一切證券和期貨,以及海盈證券在任何時候代客戶(不論作為保證金或以其他方式)持有的一切款項及其他財產,須押給海盈證券並由海盈證券為了客戶利益而持有,作為第一優先固定持續抵押,以擔保客戶所欠海盈證券的一切和任何債務(不論屬於保證金戶口,由證券交易和期貨交易或交易融資或其他原因引起,亦不論屬於實際或或有,現時或未來,主要或附屬,個別或共同)的支付和償還;關於此項抵押。

21. Upon default by the Client in payment on demand or earlier when due of any of the Client's indebtedness to the MSCL or any other default by the Client under this Agreement, the MSCL shall have the right, acting in good faith but without notice to the Client, to sell or otherwise realize the whole or any part (selected by the MSCL) of the subject matter of such security as when and how and at such price and on such terms as the MSCL shall think fit, in each case without any liability on the MSCL to the Client for any such action, except in the case of gross negligence or willful default, and to apply the net proceeds of such sale or realization and any moneys for the time being in the MSCL's hands in or towards discharge of the Client's indebtedness to the MSCL in such order as it may select.

當客戶未能在海盈證券提出要求時或在客戶所欠海盈證券的任何債項到期應付的較早時候償付債款,或當客戶發生本協議中所述的任何其他過失時,海盈證券有權稟有誠信精神行事,把上述抵押的證券、款項及其他財產的全部或任何部份(由海盈證券選擇)加以出售或變現,而無需通知客戶,至於出售或變現的時間、方式、價格及條款,均為海盈證券認為適當的;在每一上述情況下,除非海盈證券發生嚴重疏忽或蓄意失責,海盈證券毋須為了任何上述行動而對客戶負起任何責任,而且海盈證券有權應用出售或變現所得的淨收入以及海盈證券當時持有的任何款項,按照海盈證券選定的次序,清償客戶對海盈證券的債項。

22. Future Account applicable :I/We acknowledges that, subject to the provisions of the Ordinance, Mouette Securities Company Limited may take the opposite position to the Clients order in relation to any Futures Contract or Options Contract, whether on MSCL s own account or for the account of its associated company or for the account of other clients of Mouette Securities Company Limited, provided that such trade is executed competitively on or through the facilities of HKFE in accordance with the HKFE rules or the facilities of any other commodity, futures or options exchange in accordance with the rules of such other exchange.

期貨帳戶適用: 本人/吾等確認, 海盈證券可在不抵觸《條例》及任何適用法律規定的情況下, 不論是為海盈證券本身或海盈證券相聯公司或其他客戶的帳戶, 就任何在交易所買賣的期貨及期權合約, 採取與客戶的交易指示相反的交易指示, 但該買賣必須是以公平競爭方式, 根據期交所的規則在期交所或透過期交所的設施而進行的; 或是透過任何其他商品、期貨或期權交易所的設施並根據該等其他交易所的規則及現例而執行的。

23. The undersigned agrees and confirms the Specimen Signature(s) hereunder will be used to verify all written instructions given to the operation of the Account(s).

以下簽署人同意並確定下列簽署樣式將被用作核證任何就帳戶運作之書面指示。

Account Holder (1)'s Signature \_\_\_\_\_  
帳戶持有人(1) 簽署

Account Holder (2)'s Signature \_\_\_\_\_  
帳戶持有人(2) 簽署

Name of Account Holder (1): \_\_\_\_\_  
帳戶持有人(1) 姓名:

Name of Account Holder (2): \_\_\_\_\_  
帳戶持有人(2) 姓名:

Date 日期:

Date 日期:

**For Office Use Only 只供本公司使用**

<p><b>Declaration by Mouette Securities Company Limited Licensed Staff</b> <b>海盈證券有限公司職員的聲明</b></p> <p>I, named below, a licensed staff member of Mouette Securities Company Limited, hereby declare that I have: 本人(姓名見下), 為海盈證券有限公司之持牌職員, 謹此聲明, 本人:</p> <ul style="list-style-type: none"> <li>(i) met and identified each of the person(s) who executed this Form (the "Client") in front of me, and reviewed the original of his/her ID card(s) or passport(s); and 確實與本表格簽署人(一名或多名) (「客戶」) 會面, 並已識別客戶及核對其身份證或護照正本, 確認客戶在本人面前簽署本表格; 及</li> <li>(ii) provided to Client the risk disclosure statements (as contained in the Terms and Conditions in a language of his/her choice (English or Chinese) and 已以客戶選擇的語言(英文或中文) 提供風險披露聲明(載於條款及條件內); 及</li> <li>(iii) invited Client to read the risk disclosure statements, ask questions and take independent advice if the client so wishes. 已邀請客戶各自詳閱風險披露聲明, 並按客戶的意願提出問題及如有需要可諮詢獨立意見。</li> </ul> <p>_____ Signature of Staff 職員簽署</p> <p>Staff Name 職員姓名: Staff Designation 職員職銜: Staff CE Number 職員中央編號: Date 日期:</p>	<p><b>Witness Certification</b> <b>見證人核證</b></p> <p><i>(Must be completed where this Form is NOT signed in front of a licensed staff member of Mouette Securities Company Limited)</i> <i>(如本表格並非在海盈證券有限公司持牌職員面前簽署, 須填寫此欄)</i></p> <p>I, named below, certify that I have met and identified each of the persons who executed this Form in front of me, and reviewed the original of his/their ID Cards or passports 本人(姓名見下) 確實已經與本表格簽署人(一名或多名) 會面, 並已識別簽署人及核對其身份證或護照正本, 確認他(們) 在本人面前簽署本表格。</p> <p><i>*To be certified by a person licensed or registered with Securities and Futures Commission Hong Kong, an affiliate of a licensed or registered person, a Justice of the Peace, or a professional person such as a branch manager of a bank, certified public accountant, lawyer or notary public or chartered secretary)</i> <i>應由其他證券及期貨事務監察委員會持牌人或註冊人、持牌人或註冊人的聯繫人士、太平紳士或專業人士例如銀行分行經理、執業會計師、律師、公證人或特許秘書加以驗證。</i></p> <p>_____ Witness Signature 見證人簽署</p> <p>Witness Name 見證人姓名: Profession 職業: CE Number (if applicable) 中央編號(如適用): Date 日期:</p>
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<b>Acknowledgement by Mouette Securities Company Limited 經由海盈證券有限公司確認</b>	
<p>Name of the duly authorized Representative signing for &amp; on behalf of Mouette Securities Company Limited 海盈證券有限公司獲授權代表姓名</p> <p>_____ CE No 證監會中央編號: _____ Date 日期:</p>	<p>For &amp; on behalf of <b>Mouette Securities Company Limited</b> 海盈證券有限公司</p> <p>_____ Authorized Signature 授權簽署</p>

<b>For Internal Use Only 只供內部使用</b>			
	<b>Checked By</b> <b>Account Executive</b> <b>客戶主任檢閱</b>	<b>Approved By RO</b> <b>負責人員審批</b>	<i>(Applicable to High Risk Client)</i> <i>(適用於高風險客戶)</i>
			<b>Approved By RO</b> <b>負責人員審批</b>
Signature 簽署:			
Name 姓名:			
Date 日期:			
Inputted by: _____			

## Checklist of Documents 所需文件

### To open a(n) 開立帳戶

- Individual Account 個人帳戶
- Joint Account 聯名帳戶

#### Section A A 部分

Client shall provide the following documents: 客戶須提供下列文件

- Signed copy of this Account Opening Form  
本開戶表格的簽署本
- Certified true copy of ID Card (Both Sides) / Passport of Client  
客戶之身份證正反面或護照經認證真確副本
- Certified true copy of valid travel documents (for non Hong Kong permanent resident or non Hong Kong resident)  
客戶之有效旅遊證件經認證真確副本 (適用於非香港永久性居民及非香港居民)
- Proof of Residential Address dated within 3 months (e.g. utility or telephone bill, investment statement, the address as stated in the ID)  
三個月內發出之住址證明 (如: 水電費或電話帳單、投資月結單、身份證上之地址)
- Certified true copy of ID Card (Both Sides) / Passport and residential address proof of beneficial owner (if applicable)  
最終受益人之身份證正反面或護照經認證真確副本及住址證明 (如適用)
- Consent letter from employer (if client is a SFC licensed person or employee of another licensed corporation or registered institution)  
僱主同意書 (如客戶為證監會註冊人士或受僱於證監會發牌機構)
- W-8BEN (non U.S. taxpayer)  
W-8BEN表格 (非美國稅務居民)
- Letter of Authorization (if applicable)  
授權書 (如適用)
- Certified true copy of ID Card (Both Sides) / Passport and residential address proof of authorised person (if applicable)  
被授權人之身份證正反面或護照經認證真確副本及住址證明 (如適用)  
Margin Facility Agreement (if opening a Margin Account) 保證金融資協議書 (如欲開立保證金帳戶)

★ For joint account, please complete for each account holder  
如屬聯名帳戶, 每位帳戶持有人須填寫一份

Section B: Where this Account Opening Form is not executed in the presence of an employee of Mouette Securities Company Limited, the Client may choose to provide the documents as required in (i) or (ii).

如本開戶表格並非於海盈證券有限公司的僱員見證下簽署, 則客戶可選擇提供列明於 (i) 或 (ii) 內的文件。

(i) the Documents in Section A shall be certified by:

A部份之文件須由下列人士認證:

- a) a person licensed by or registered with the SFC or its affiliate; 獲證監會發牌或註冊的人士或其聯號;
- b) a Justice of the Peace; or 太平紳士; 或
- c) a professional person such as a branch manager of a bank, a certified public accountant, a lawyer, a notary public or a chartered secretary. 專業人士, 例如銀行分行經理、執業會計師、律師、公證人或特許秘書等。

(ii) Provide documents in Section A, AND:

提供A部分所載的文件, 及: (not applicable for opening Joint Account)(不適用於開立聯名帳戶)

- provide a cheque in the amount of not less than HK\$10,000 bearing the Client's name (as shown in HKID Card or Passport) issued by the Client and drawn on the Client's account with a licensed bank in Hong Kong (the signature on the cheque and the signature on the Account Opening Form must be the same); and  
客戶由名下於香港的持牌銀行開設的帳戶發出不少於一萬港元的支票 (該支票的簽署必須與開戶表格的簽署相同) / 將數額不少於10,000港元的首筆存款, 由以客戶名義在香港持牌銀行開立的銀行戶口轉帳至海盈證券的銀行戶口; 及
- Account(s) will not be activated until the cheque is cleared. 帳戶須於該支票兌現後 / 成功轉帳後始能啓用

#### Notes 注意事項

1. Any deletion or amendment of the personal information must be signed by all account holders  
任何有關個人資料的刪改必須由全部帳戶持有人簽署作實
2. All cheques should be crossed, non-bearer and made payable to "Mouette Securities Company Limited"  
所有支票必須劃線並抬頭“海盈證券有限公司”
3. All monies payable to the account holder will be credited to the designated bank account nominated on this Form, unless otherwise instructed.  
帳戶持有人的款項將會被存入本表格內所提供的指定銀行帳戶, 除非另行通知。
4. Third-party deposit will not be accepted. Any exception is subject to prior management approval.  
海盈證券恕不接受第三者存款。任何例外情況都需要管理層的預先批准。