



# 華盛証券

## 新浪旗下互聯網券商

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Valuable Capital Limited ("VCL") is a licensed corporation that is licensed for Type 1 Regulated Activity (i.e. Dealing in Securities), Type 2 Regulated Activity (i.e. Dealing in Futures Contracts), Type 4 Regulated Activity (i.e. Advising on Securities), Type 5 Regulated Activity (i.e. Advising on Futures Contracts) and Type 9 Regulated Activity (i.e. Asset Management) under the Securities and Futures Ordinance (Cap. 571) with CE No. AUL711 and is an Exchange Participant of The Stock Exchange of Hong Kong Limited and Hong Kong Futures Exchange Limited.  
華盛資本証券有限公司(「華盛証券」)是根據《證券及期貨條例》(第571章)就第一類受規管活動(即證券交易)、第二類受規管活動(即期貨合約交易)、第四類受規管活動(即就證券提供意見)、第五類受規管活動(即就期貨合約交易提供意見)及第九類受規管活動(即提供資產管理)獲發牌的持牌法團,其中編號為AUL711,為香港聯合交易所有限公司及香港期貨交易所有限公司的交易所參與者。

For Internal Use Only 只供內部使用
Account Opening Date 開戶日期 _____
Referral 渠道號 _____

### Account Opening Form (Individual/Joint Account) 開戶表格 (個人/聯名賬戶)

#### A. ACCOUNT TYPE 賬戶類別

Client Type 客戶類別

Individual Account 個人賬戶

Joint Account 聯名賬戶\*

\*Each joint account holder shall complete B1 to B4, the account holder (2) shall complete the Account Opening Form (Joint Account Supplement)

每名聯名賬戶持有人須分別填寫表格B1至B4, 賬戶持有人(2)須填寫開戶表格(聯名賬戶補充)

Cash Account 現金賬戶\*\*

Account No. 賬戶號碼 \_\_\_\_\_

Margin Account 融資賬戶\*\*

Account No. 賬戶號碼 \_\_\_\_\_

\*\*Please choose either one from above 請選擇以上其中一項

Futures Account 期貨賬戶

Account No. 賬戶號碼 \_\_\_\_\_

Fund Account 基金賬戶

Account No. 賬戶號碼 \_\_\_\_\_

Bond Account 債券賬戶

Account No. 賬戶號碼 \_\_\_\_\_

Structure Note Account (S/N) 結構性票據賬戶

Account No. 賬戶號碼 \_\_\_\_\_

Do you require internet trading services? 閣下是否需要網上交易服務?

Yes 是

No 否

Do you require services in trading U.S. stocks? 閣下是否需要買賣美股服務?

Yes 是

No 否

Do you require services in trading A-shares? 閣下是否需要買賣A股服務?\*\*\*

\*\*\*Please complete the Personal Information Statement Concerning Northbound Trading of Shanghai-Hong Kong Stock Connect and Northbound Trading of Shenzhen-Hong Kong Stock Connect ("Stock Connect Northbound Trading")

請填寫滬港北向交易及深港北向交易(「中華通北向交易」)個人資料收集聲明

Yes 是

No 否

#### B. CLIENT INFORMATION 客戶資料 (Individual/ Account Holder (1) 個人/賬戶持有人(1))

##### B1. Personal Information 個人資料

Mr 先生

Ms 女士

Name in English (Surname First) as per your ID Card/Passport  
英文姓名(先寫姓氏), 姓名必須與閣下的身份證/護照的紀錄相符:

Name in Chinese  
中文姓名:

If you do not provide Hong Kong identity document, please confirm whether you hold valid Hong Kong identity card  
如閣下並非提供香港身份證明文件, 請閣下確認是否持有有效香港身份證:  
 Yes 是  No 否

ID Card /Passport No. 身份證/護照號碼:

Place of Issue 簽發國家:

Nationality 國籍:

Place of Birth 出生地點:

Date of Birth 出生日期:

Current Residential Address  
現居住地址:

Correspondence Address (if different from the residential address)  
通訊地址(如與住址地址不同):

Home Phone No.  
住宅電話號碼:

Mobile Phone No.  
手提電話號碼:

E-mail Address  
電郵地址:

<b>B2. Employment Status 工作狀況</b>		
<input type="checkbox"/> Self-Employed/owner 自僱/僱主	<input type="checkbox"/> Employed 受僱	<input type="checkbox"/> Unemployed 待業
<input type="checkbox"/> Retired 退休	<input type="checkbox"/> Housewife 家庭主婦	<input type="checkbox"/> Student 學生
<input type="checkbox"/> Other (Please specify) 其他: 請註明: _____		
Name of Employer 公司名稱:		
Office Address 公司地址:		
Office Phone No. 公司電話號碼:	Office Fax No. 公司傳真號碼:	
Position 職位:	Years of Employment 工作年期:	
Employer/Occupation Industry (please select one) 僱主/職業行業 (只選一項):		
<input type="checkbox"/> Agriculture 農業	<input type="checkbox"/> Gambling 博彩業	<input type="checkbox"/> Medical 醫療
<input type="checkbox"/> Architecture / Construction 建築/建造	<input type="checkbox"/> Gems/Precious Metals/ Jewellery Trading 寶石/貴金屬/珠寶買賣	<input type="checkbox"/> Money Exchange/Remittance 貨幣兌換/匯款
<input type="checkbox"/> Auction house / Art Piecework Trading 拍賣行/藝術品古董買賣	<input type="checkbox"/> Government / Public Body 政府/公共機構	<input type="checkbox"/> Non-profit organization 非牟利機構
<input type="checkbox"/> Beauty/Healthcare Service 美容/保健服務	<input type="checkbox"/> Hotels/Travel 酒店/旅遊業	<input type="checkbox"/> Pawnshop 典當業
<input type="checkbox"/> Business Services 商業服務	<input type="checkbox"/> Information Technology 資訊科技	<input type="checkbox"/> Real Estate Agent 房地產經紀
<input type="checkbox"/> Clubs / Karaoke / Massage Parlor / Sauna 夜總會/卡拉OK/按摩店/桑拿	<input type="checkbox"/> Information/Communications 資訊/通訊	<input type="checkbox"/> Real Estate Development 房地產開發
<input type="checkbox"/> Education 教育	<input type="checkbox"/> Insurance 保險	<input type="checkbox"/> Retail 零售
<input type="checkbox"/> Engineering 工程	<input type="checkbox"/> Legal 法律	<input type="checkbox"/> Trading/Wholesales 貿易/批發
<input type="checkbox"/> Financial Regulators/ICAC/similar authority 金融監管機構/廉署/同類機構	<input type="checkbox"/> Leisure/Entertainment/Culture 康樂/娛樂業 文化	<input type="checkbox"/> Transportation/Storage 運輸/倉庫
<input type="checkbox"/> Finance 金融	<input type="checkbox"/> Logistics 物流業	<input type="checkbox"/> Utilities 公共事業
<input type="checkbox"/> Food and Beverage 飲食業	<input type="checkbox"/> Manufacturing 製造業	<input type="checkbox"/> Weapon/Military Industry/Arms Trading 軍火/軍工/武器買賣
<input type="checkbox"/> Foreign Consulate Embassy 外國領事館	<input type="checkbox"/> Media/Marketing 媒體/市場營銷	<input type="checkbox"/> Other (Please specify) 其他: (請註明): _____

<b>B3. Financial Profile 財務狀況</b>		
The items below represent the incomes and assets solely owned by the account holder: 以下資料代表賬戶持有人獨立擁有之收入及資產:		
Annual Income (HK\$) 每年收入(港幣):		
<input type="checkbox"/> ≤ \$200,000	<input type="checkbox"/> \$200,001~\$500,000	<input type="checkbox"/> \$500,001~\$1,000,000
<input type="checkbox"/> \$1,000,001~\$3,000,000	<input type="checkbox"/> >\$3,000,000	
Total Net Worth (HK\$) 總資產淨值(港幣):		
<input type="checkbox"/> ≤ \$500,000	<input type="checkbox"/> \$500,001~\$1,000,000	<input type="checkbox"/> \$1,000,001~\$5,000,000
<input type="checkbox"/> \$5,000,001~\$8,000,000	<input type="checkbox"/> >\$8,000,000 (Please specify 請註明: _____)	
Ownership of Residence 住宅業權:		
<input type="checkbox"/> Owned 自置	<input type="checkbox"/> Rented 租用	<input type="checkbox"/> Mortgaged 按揭
<input type="checkbox"/> Living with Family 與家人同住	<input type="checkbox"/> Others 其他: _____	
Source of Funds (The source of initial and expected deposits to VCL for investment) 資金來源 (初始存入及預期存入華盛以作投資的資金來源):		
<input type="checkbox"/> Employment Income 受僱收入	<input type="checkbox"/> Investment Profit 投資利潤	<input type="checkbox"/> Profit from own business 個人業務收益
<input type="checkbox"/> Pension 退休金	<input type="checkbox"/> Sale of Assets/Property 出售資產/物業	<input type="checkbox"/> Others (Please specify) 其他 (請註明): _____

**B4. Investment Experience, knowledge and Risk Profile 投資經驗，知識及風險狀況**

Investment Product(s) and Investment Experience 投資產品及投資經驗:

	None 沒有	0-3	4-6	7-10	>10 Years 年
(a) Stocks 股票	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(b) Exchange Traded Funds 交易所買賣基金	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(c) Non Exchange Traded Funds 非交易所買賣基金	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(d) Fixed Income Products (Plain Vanilla) 固定收益產品(傳統)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(e) Fixed Income Products (Complex) 固定收益產品(複雜)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(f) Investment-lined Insurance Plans 投資相連保險計劃	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(g) Listed Derivatives / Structured Products 上市衍生工具/結構性產品	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(h) OTC Derivatives / Structured Products 場外衍生工具/結構性產品	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(i) Leveraged FX Trading 槓桿外匯投資	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Knowledge of Derivative Products<sup>1</sup> 衍生產品的知識<sup>1</sup>

- I have undergone training or attended courses on derivatives products.  
本人曾接受有關衍生產品的培訓或修讀相關課程。
- I have current or previous work experience related to derivatives products.  
本人現時或過去擁有與衍生產品有關的工作經驗。
- I have executed 5 or more transactions within the past 3 years in derivative products (e.g., Derivative Warrants, Callable Bull/Bear Contracts, Exchange Traded Funds, Equity Linked Instruments etc.).  
本人過去3年曾執行5次或以上有關衍生產品的交易(例如: 衍生權證、牛熊證、交易所買賣基金及股票掛鈎票據)。
- I confirm that I have carefully read and fully understood the Clause 15 of Client Agreement relating to Derivative Products, including risks associated with Derivative Products. I further confirmed that VCL's representative has fully explained to me the nature and risks of Derivative Products.  
本人確認，本人已閱讀並完全明白客戶協議書內關於衍生產品的第15條條款，包括附帶於衍生產品的相關風險。本人再進一步確認華盛證券職員已完全向本人解釋衍生產品的性質和風險。

**B5. Investment Profile 投資概況**

- Investment Objective 投資目的:  Capital Preservation 保本主導  Income Oriented 收入主導  
 Income and Growth Oriented 收入及增長主導  Growth Oriented 增長主導  
 Aggressive Growth 積極增長

**B6. Designated Bank Account (Withdrawal of Funds) 指定銀行帳戶 (提取款項)**

(Bank Account Holder's name must be the same as the Client's Full Name 銀行賬戶持有人的名稱須與客戶全名相符)

The following bank account(s) is(are) hereby designated by me/us as the bank account for the purpose of withdrawal of funds. I/We hereby instruct and authorize VCL to deposit any or all funds payable to me/us into the following bank account(s). I/We agree that VCL should not be held liable for any loss, expenses or damages suffered by me/us as a result of any delay in depositing such payments caused by any reasons whatsoever.  
本人/吾等謹此指定以下的銀行賬戶作為提取款項用途的銀行賬戶。本人/吾等謹此指示及授權華盛證券將任何或所有應付予本人/吾等之款項存入以下銀行賬戶。本人/吾等同意華盛證券一概不應對基於任何原因而延遲存入款項令本人/吾等蒙受的任何損失、費用或賠償承擔任何責任。

Currency 貨幣	Name of Bank 銀行名稱	Account Number 賬戶號碼	Country / Area of Designated Bank 指定銀行所在國家/地區
HKD 港幣			
CNY 人民幣			
USD 美元			

**B7. Method of Communication 通訊方法**

Please provide your latest e-mail address or postal address for receiving your notices, contract notes, statements of accounts and receipts promptly.  
請提供閣下/吾等的最新的電郵地址或郵寄地址，以及時收取通告、成交單據、戶口結單及收據。

Notices, contract notes, statements of accounts and receipts shall be sent to me/us by one of the following means:  
通告、成交單據、戶口結單及收據將以下列其中一項方式發送至本人/吾等:

- By E-mail to the E-mail address as mentioned in Part B1  
電郵至 B1 部分的電郵地址

By Mail\* to:  
郵遞\*至:

- Residential Address 居住地址  Correspondence Address 通訊地址  Office Address 公司地址

For Joint Account, notice, contract notes, statements of accounts and receipts will be sent to Account holder (1)  
就聯名賬戶，通告、成交單據、戶口結單及收據將寄往至賬戶持有人(1)

\* If your preferred method of communication is mailing, a postage service fee shall be charged for HK\$200 each month.  
如選用郵遞形式，將收取郵遞服務費每月 HK\$200。

<sup>1</sup> Derivative products included derivative warrants, callable bull/bear contracts, exchange traded funds and equity linked instruments.  
衍生產品包括衍生權證、牛熊證、交易所買賣基金及股票掛鈎票據。

**C. RELATED ACCOUNT 關連賬戶**

C1 Does your spouse maintain any account(s) with VCL?  
閣下的配偶是否持有any華盛證券賬戶？

No  Yes Please specify:  
否 是 請註明：

\_\_\_\_\_  
Name of Account Holder 賬戶持有人姓名

\_\_\_\_\_  
ID No./ Account No. 證件號碼/賬戶號碼

C2 Are you in control, either alone or with your spouse, of 35% or more of the voting rights of any margin corporate account(s) of VCL?  
閣下是否單獨或與其配偶共同控制華盛證券任何融資公司賬戶的35%或以上的表決權？

No  Yes Please specify:  
否 是 請註明：

\_\_\_\_\_  
Name of Account Holder 賬戶持有人姓名

\_\_\_\_\_  
Company No./ Account No. 公司編號/賬戶號碼

**D. CLIENT DECLARATION 客戶聲明**

D1 Do you have any relationship with the director(s) or employee(s) of VCL or its affiliates?  
閣下是否與華盛證券或其附屬公司之董事或僱員有任何關係？

No  Yes Please specify:  
否 是 請註明：

\_\_\_\_\_  
Name of Director or Employee 董事或僱員姓名

\_\_\_\_\_  
Relationship 關係

D2 Are you an employee or a director of any Licensed/Registered Person of the Securities and Futures Commission ("SFC") or any Exchange Participant?  
閣下是否任何證券及期貨事務監察委員會「證監會」持牌人/註冊人或交易所參與者的僱員或董事？

No  Yes Please specify:  
否 是 請註明：

\_\_\_\_\_  
Name of Licensed/Registered Person of the SFC or the Exchange Participant 證監會持牌人/註冊人或交易所參與者之姓名

Please also provide the consent letter from the employer. 請提供閣下僱主的同意書。

D3 Are you a director, chief executive or substantial shareholder of any listed company?  
閣下是否任何上市公司的董事、行政總裁或主要股東？

No  Yes Please specify:  
否 是 請註明：

\_\_\_\_\_  
Name of Listed Company 上市公司姓名

\_\_\_\_\_  
Position 職位

D4 Are you, your spouse, partner, children, parents, spouse or partner of your children, or any close associate of you a "Politically Exposed Person" ("PEP") (i.e. an individual is or has been entrusted with a prominent public function in any place and/or by any international organization, including but not limited to a head of state, head of government, senior politician, senior government, judicial or military official, senior executive of a state-owned corporation and an important political party official)?

閣下、閣下之配偶、伴侶、子女、父母、子女之配偶或伴侶、與閣下關係密切的人士是否「政治人物」（即該人士在任何地方及/或國際組織擔任或曾擔任重要公職，包括但不限於國家元首、政府首長、資深從政者、高級政府、司法或軍事官員、國有企業高級行政人員及重要政黨幹事）？

No  Yes Please specify:  
否 是 請註明：

\_\_\_\_\_  
Name of PEP 政治人物姓名

\_\_\_\_\_  
Place and Public Function entrusted with 地方及所擔任的公職

\_\_\_\_\_  
Relationship 關係

D5 Are you the Person(s) ultimately responsible for originating instructions for the Account?

閣下是否賬戶之最終負責發出指示人？

Yes  No Please specify:  
是 否 請註明：

Name of the Person(s) ultimately responsible for originating instructions for the Account  
最終負責發出交易指示人士之姓名：\_\_\_\_\_

ID Card/Passport No.  
身份證／護照號碼：\_\_\_\_\_

Issuing Country  
簽發國家：\_\_\_\_\_

Address  
地址：\_\_\_\_\_

Telephone No.  
電話號碼：\_\_\_\_\_

Relationship with the Client and reasons  
與客戶的關係及原因：\_\_\_\_\_

D6 Are you the ultimate beneficial owner of the Account?

閣下是否賬戶之最終受益擁有者？

Yes  No Please specify:  
是 否 請註明：

Name of the Person(s) ultimately responsible for originating instructions for the Account  
最終負責發出交易指示人士之姓名：\_\_\_\_\_

ID Card/Passport No.  
身份證／護照號碼：\_\_\_\_\_

Issuing Country  
簽發國家：\_\_\_\_\_

Address  
地址：\_\_\_\_\_

Telephone No.  
電話號碼：\_\_\_\_\_

Relationship with the Client and reasons  
與客戶的關係及原因：\_\_\_\_\_

## E. SELF-CERTIFICATION OF U.S. CITIZEN/RESIDENT 美國公民／居民自我聲明

Please confirm your U.S. tax status under the provisions of the U.S. Foreign Account Tax Compliance Act "FATCA".  
根據美國《外國賬戶稅收合規法案》「FATCA」的條文，請確認閣下的美國稅務狀況。

		Account Holder (1) 賬戶持有人(1)		Account Holder (2) 賬戶持有人(2)	
E1	Are you a U.S. Citizen (e.g. holding a U.S. passport)? 閣下是否美國公民（如持有美國護照）？	<input type="checkbox"/> Yes 是	<input type="checkbox"/> No 否	<input type="checkbox"/> Yes 是	<input type="checkbox"/> No 否
E2	Are you a U.S. Resident (e.g. holding U.S. green card)? 閣下是否美國居民（如持有美國綠卡）？	<input type="checkbox"/> Yes 是	<input type="checkbox"/> No 否	<input type="checkbox"/> Yes 是	<input type="checkbox"/> No 否

If you are a U.S. Citizen/U.S. Resident, please provide your  
Tax Identification Number ("TIN").  
如閣下是美國公民／美國居民，請提供閣下的聯邦納  
稅人識別號碼（「納稅人號碼」）

**F. SELF-CERTIFICATION OF COMMON REPORTING STANDARD 共同匯報標準自我證明**

Please confirm your tax residency status under the requirements of Common Reporting Standard “CRS”. Please complete the following table indicating (i) the jurisdiction of residence (including Hong Kong) where you are a resident for tax purposes and (ii) your Taxpayer Identification Number or Functional Equivalent “TIN” for each jurisdiction indicated. Indicate **ALL (not restricted to five)** jurisdictions of residence.

根據《共同匯報標準》「CRS」的規定，請確認閣下的稅務居民身份狀況。請提供以下資料，列明 (i) 閣下的居留司法管轄區，亦即閣下的稅務管轄區 (香港包括在內) 及 (ii) 該居留司法管轄區發給閣下的稅務編號或具有等同功能的識別編號「稅務編號」。列出所有 (不限於 5 個) 居留司法管轄區。

If you are a tax resident of Hong Kong/China, the TIN is your HKID Card No./Chinese Resident ID Card No.

若閣下是香港/中國稅務居民，稅務編號是其香港身份證號碼/中國居民身份證號碼。

If no TIN is available, provide the appropriate reason A, B or C:

若沒有提供稅務編號，必須填寫合適的理由 A、B 或 C：

Reason A – The jurisdiction where you are a resident for tax purposes does not issue TINs to its residents.

Reason B – You are unable to obtain a TIN. Please explain why you are unable to obtain a TIN if you have selected this reason.

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.

理由 A – 閣下的居留司法管轄區並沒有向其居民發出稅務編號。

理由 B – 閣下不能取得稅務編號。如選取這一理由，請解釋閣下不能取得稅務編號的原因。

理由 C – 閣下毋須提供稅務編號。居留司法管轄區的主管機關不需要閣下披露稅務編號。

Account Holder (1) 賬戶持有人 (1)			
Jurisdiction of Residence (Country) 居留司法管轄區 (國家)	TIN 稅務編號	Indicate Reason A, B or C if no TIN is available 如沒有提供稅務編號， 請填寫理由 A、B 或 C	Explain why you are unable to obtain a TIN 如選取理由 B，請解釋閣下 不能取得稅務編號的原因
(1)			
(2)			
(3)			
(4)			
(5)			

Account Holder (2) 賬戶持有人 (2)			
Jurisdiction of Residence (Country) 居留司法管轄區 (國家)	TIN 稅務編號	Indicate Reason A, B or C if no TIN is available 如沒有提供稅務編號， 請填寫理由 A、B 或 C	Explain why you are unable to obtain a TIN 如選取理由 B，請解釋閣下 不能取得稅務編號的原因
(1)			
(2)			
(3)			
(4)			
(5)			

**G. USE OF PERSONAL DATA IN DIRECT MARKETING 使用個人資料作直接促銷**

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

華盛證券擬使用閣下/吾等的個人資料作直接促銷。該等個人資料包括閣下/吾等在開戶文件中向華盛證券提供的及華盛證券不時獲得的姓名、聯絡詳情、財務背景、人口及統計資料等。本人/吾等明確同意，華盛證券及/或任何華盛證券附屬公司可使用或轉移本人/吾等的個人資料，作直接促銷用途。本人/吾等進一步同意收取華盛證券及/或任何其華盛證券附屬公司該等直接促銷資料，除非本人/吾等在下方表示反對：

I/We object to the proposed use or transfer of my/our personal data by VCL and/or any VCL's affiliates for all kinds of direct marketing purpose.

本人/吾等反對華盛證券及/或任何華盛證券附屬公司使用或轉移本人/吾等的個人資料，作各種直接促銷用途。

## H. CLIENT'S ACKNOWLEDGEMENT, UNDERTAKING AND SIGNATURE 客戶確認、承諾及簽署

- I/We hereby acknowledge and undertake the followings:  
本人/吾等謹此確認及承諾如下：

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

本開戶表格及/或開戶表格(聯名賬戶補充)(「開戶表格」)中所提供的資料均屬真實、完整及準確無訛,及本人/吾等並未刻意隱瞞任何重要事實。本人/吾等授權華盛證券可向任何華盛證券認為適當的資料來源確定和查證,包括進行任何對於本人/吾等的信貸查證。除非華盛證券收到任何資料改變的收書面通知,華盛證券可完全依據這些資料及陳述,作任何用途。本人/吾等確認及承諾,如所提供之資料有任何更改,均會於十四(14)天內以面通知華盛證券。

I/We have received, read and understood the terms and conditions of Client Agreement (Securities Trading Account), including but not limited to Margin Client Agreement (Securities Trading Account), Client Agreement (Futures Trading Account) and Personal Information Collection Statement ("the Agreement") applicable to me/us. I/We apply to open the above type(s) of Account and agree to be bound by the terms and conditions of Agreement. VCL has the absolute right to change, amend, delete or substitute any terms and conditions of the Agreement from time to time by giving me/us such notice. Such changes, amendment, deletion or substitution shall be deemed as effective and incorporated therein (and shall form part of the Agreement) on the date of publication or issue of such notice. Unless VCL has received my/our request to close the Account(s), if I/we continue to use the Account(s), I/we shall be deemed to have accepted such change, amendment, deletion or substitution.

本人/吾等已收取、閱讀及明白客戶協議書(證券交易賬戶),包括但不限於融資客戶協議書、客戶協議書(期貨交易賬戶)及個人資料收集聲明「協議書」的條款及細則。本人/吾等申請開立上述類別的賬戶,並同意及接納受協議書的條款及細則約束。華盛證券有絕對酌情權不時修訂、更改、刪減或取代協議書的條款及細則,並向本人/吾等發出通知。該修訂、更改、刪減或取代的條款及細則將於相關通知刊載之日起生效,並被視為納入本協議書內。除非華盛證券收到本人/吾等取消賬戶通知,否則表示本人/吾等接納該更改條款及細則。

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

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

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

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

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

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

According to the provision of FATCA, I/we give consent to VCL to report my/our personal information to the U.S. Internal Revenue Service or other relevant tax authorities in order to comply with the provisions of FATCA. I/We understand and acknowledge that VCL may suffer loss or incur penalty and/or damage if the information provided in "Self-Certification of U.S. Citizen/Resident" (i.e. Part E of the Account Opening Form) is or proves to be incorrect, false or misleading when made. I/We agree to indemnify VCL on demand for such loss, penalty and/or damage. I/We further agree that I/we will notify VCL in writing within fourteen (14) days of any of change of my/our U.S. tax status.

根據 FATCA 的條文,本人/吾等同意華盛證券將本人/吾等的個人資料匯報予美國國家稅務局或其他有關稅務當局,以遵從 FATCA 的條文。本人/吾等知道及確認,倘若所載於美國公民/居民自我聲明之資料(即開戶表格中的 E 部份)是或被證明是不正確、虛假或具誤導性,華盛證券可能因此蒙受損失或招致刑罰及/或損害。本人/吾等就所有該等損失、刑罰及/或損害對華盛證券作出補償。本人/吾等同意,倘若本人/吾等的美國稅務狀況有任何改變,本人/吾等於十四(14)天內以書面方式通知華盛證券。

According to the provision of CRS, "Tax Residents of Reportable Jurisdictions" refer to those who are liable to tax by reason of residence in the jurisdictions. In general, whether or not an individual is a tax resident of a jurisdiction is determined by the person's physical presence or stay in a place (e.g. whether over 183 days within a tax year). VCL will request a self-certification and/or other relevant documentation in order to establish our tax residence for automatic exchange of account information purposes. If there is any change in circumstances that would affect my/our tax residence or VCL has reasonable cause(s) to believe that the self-certification is incorrect or unreliable, VCL reserves the right to request and I/we have the obligation to provide a new self-certification and/or additional documentation. As an account holder(s) of VCL, I/we shall be deemed to acknowledge that further information may need to be provided to VCL. VCL's compliance with the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112) and/or guidance may result in gathering, storing, using, and processing my/our information. My/Our information may also be disclosed to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region, which is further exchanged with tax authorities of another jurisdiction or jurisdictions in which I/we may be resident for tax purposes. Where I/we fail to provide any requested information (regardless of the consequences), VCL reserves the right to take any action and/or pursue all remedies at its disposal including, without limitation to restriction or termination of my/our account(s).

根據 CRS 的條文,「申報稅務管轄區的稅務居民」是指該些在相關稅務管轄區因其居民身分而有繳稅責任的人。一般而言,要斷定某人是否屬一個稅務管轄區的稅務居民,會根據該人身處之地或逗留於該地的時間(例如一個課稅年度超過 183 天)。華盛證券要求本人/吾等提供自我證明或其他文件以揭示本人/吾等納稅所在地,以作自動交換賬戶資料用途。如本人/吾等因任何情況而影響本人/吾等的納稅所在地,或令華盛證券有理由相信本人/吾等之自我證明有不正確或不可靠時,華盛證券保留權利可要求本人/吾等遞交新的自我證明及/或額外文件。作為華盛證券的賬戶持有人,本

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

I/We also agree to inform VCL in writing within fourteen (14) days upon any changes in the information provided in the Self-Certification of Common Reporting Standard (i.e. Part F of the Account Opening Form). I/We understand and acknowledge that VCL may suffer loss or incur penalty and/or damage if such information provided is or proves to be incorrect, false or misleading when made. I/We agree to indemnify VCL on demand for such loss, penalty and/or damage.

本人／吾等同意，若本人／吾等所載於共同匯報標準自我證明的資料(即賬戶開戶表格 F 部份)有任何變更，會於十四(14)天內以書面通知華盛證券。本人／吾等知道及確認，倘若該等資料是或被證明是不正確、虛假或具誤導性，華盛證券可能因此蒙受損失或招致刑罰及/或損害。本人／吾等同意就所有該等損失、刑罰及/或損害對華盛證券作出彌償。

## H1. STANDING AUTHORITY

### 常設授權

I/We confirm that I/we fully understand and agree to the contents of this Standing Authority.

本人／吾等確認本人／吾等完全理解並同意本常設授權的內容。

#### **STANDING AUTHORITY GENERAL TERMS (FOR ALL TYPES OF ACCOUNTS)**

##### **常設授權通用條款(適用於所有賬戶)**

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

除文義另有所指外，於本常設授權書內的任何名詞，與《證券及期貨條例》、《證券及期貨(客戶款項)規則》及《證券及期貨(客戶證券)規則》不時修訂之定義具有相同意思。

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

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

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

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

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

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

This Standing Authority shall remain effective until the expiration date or until the Standing Authority is revoked by me/us, whichever is earlier.

除非本常設授權書到期或於到期前被撤回(以較早者為準)，否則本常設授權書保持有效。

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

本人／吾等明白及同意，若本人／吾等的賬戶有任何不尋常或可疑活動，華盛證券有權凍結本人／吾等的賬戶並要求本人／吾等的賬戶提供更多資料。

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

本人／吾等確認華盛證券已向其解釋本常設授權書，本人／吾等完全明白本常設授權書的內容，並已經或有機會就其內容及效力尋求法律顧問的意見。

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

本人／吾等同意華盛證券可以不時以電話或電郵聯絡本人／吾等，以改善客戶溝通及提供更優質客戶服務為目的。

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

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

#### **STANDING AUTHORITY UNDER THE SECURITIES AND FUTURES (CLIENT MONEY) RULES**

##### **證券及期貨(客戶款項)規則規定的常設授權**

This Standing Authority covers money held or received by VCL in Hong Kong and overseas (including any interest derived from the holding of the money which does not belong to VCL) in one or more segregated account(s) on my/our behalf ("Monies"). I/We hereby authorize VCL to handle the Monies on my/our behalf.

本常設授權是涵蓋華盛證券為本人／吾等在香港以及海外收取或持有並存放於一個或多個獨立賬戶內之款項(包括因持有並非屬於華盛證券之款項而產生之任何利息)(下稱「款項」)。本人茲授權華盛證券處理此等款項。

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

就華盛證券為吾等在香港收取或持有的款項，本人／吾等進一步授權華盛證券：

1. Combine or consolidate any or all segregated accounts, of any nature whatsoever and either individually or jointly with others, maintained by VCL from time to time, and VCL may transfer any sum of Monies to and between such segregated account(s) to satisfy our obligations or liabilities to VCL, whether such obligations and liabilities are actual or contingent, primary or collateral, secured or unsecured, joint or several; and 組合或合併華盛證券所維持的任何性質的任何或全部獨立賬戶，此等組合或合併活動可以個別地或與其他賬戶聯合進行，華盛證券可將該等獨立賬戶內任何數額之款項作出轉移，以解除吾等對華盛證券的義務或法律責任，不論此等義務和法律責任是確實或或然的、原有或附帶的、有抵押或無抵押的、共同或分別的；及



2. Set-off or transfer any sum of Monies interchangeably between any of the segregated accounts maintained at any time by VCL towards satisfaction of any of our liabilities to VCL; and  
華盛證券可將款項的任何款額任何時間維持的獨立賬戶之間轉入轉出以結清吾等對華盛證券負有的債務；及
3. Exchange our Monies into any other currency(ies) at the rate of exchange conclusively determined by VCL.  
可將賬戶內的款項以華盛證券最終確定的匯率兌換成任何其他貨幣。

Regarding the Monies held or received by VCL overseas, I/we hereby further authorize VCL to:-  
就華盛證券為吾等在海外收取或持有的款項，本人／吾等進一步授權華盛證券：

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

I/We understand that VCL can take any of the above actions without giving notice to me/us.  
華盛證券可以不向本人／吾等發出通知而採取上述行動。

I/We understand that this Standing Authority is given to VCL in consideration of VCL's agreement in opening and continuous maintaining Securities Cash/Margin Trading Account for me/us and also Futures Trading Account(s) with VCL for me/us.

本人／吾等明白本常設授權乃鑑於華盛證券同意開立及繼續維持吾等的證券現金／融資交易賬戶及期貨交易賬戶。

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

本人／吾等明白本人／吾等的證券可能受制於第三者之權利，華盛證券可於全數抵償該等權利後，方將本人／吾等的證券退回給本人／吾等。

I/We acknowledge and confirm that my/our assets (including the Monies) received or held by VCL overseas are subject to applicable laws and regulations of the relevant overseas jurisdiction which may be different from the Securities and Futures Ordinance (Cap.571) and the rules made thereunder. Consequently, such assets may not enjoy the same protection as that conferred on my/our assets received or held in Hong Kong.

本人／吾等確認，華盛證券在香港以外地方收取或持有的本人／吾等的資產，是受到有關海外司法管轄區的適用法律及規例所監管的。這些法律及規例與《證券及期貨條例》（第 571 條）及根據該條例制訂的規則可能有所不同。因此，有關資產有可能不會享有賦予本人／吾等在香港收取或持有的資產的相同保障。

**(This paragraph is only applicable to margin accounts.)** When a customer does not have any cash balance in his/her personal and/or joint account at VCL, and he/she, through his/her personal account and/or joint account, trades on margin and withdraw funds to meet the deposit and/or settlement requirements of other accounts, he/she may face additional risks and costs, including market risk, margin trading risk and any additional interest costs.

（本段只適用於證券融資賬戶）當客戶在本公司的個人及／或聯名戶口沒有現金結餘時，若透過客戶的個人及／或聯名戶口進行股票孖展貸款，提取資金以滿足其他戶口的按金或交收要求，客戶將面對額外的風險與成本，包括市場風險、保證金交易風險等和需要承擔額外的利息成本。

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

##### **證券及期貨（客戶證券）規則規定的常設授權（只適用於證券融資賬戶）**

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

本人／吾等確認本人／吾等完全明白本常設授權的內容，並且本人／吾等進一步確認本人／吾等授權華盛證券處理在華盛證券處即將開立的證券融資賬戶中所有證券。本人／吾等確認本人／吾等授權華盛證券：

1. Apply any of my/our securities or securities collateral pursuant to a securities borrowing and lending agreement;  
根據證券借貸協議，運用本人／吾等的任何證券或證券抵押品；
2. Deposit any of my/our securities collateral in any recognized financial institution as collateral for financial accommodation provided to VCL;  
把本人／吾等的任何證券抵押品存放於任何認可財務機構，作為該機構向華盛證券提供財務通融的抵押品；
3. Deposit any of my/our securities collateral to Hong Kong Securities Clearing Company Limited ("HKSCC") to discharge and fulfill my/our liquidation obligations and liabilities. I/We understand that HKSCC, in light of VCL's liability and obligations, sets my/our securities as the fixed charge;  
將本人／吾等的任何證券抵押品存放給香港中央結算有限公司（下稱「香港結算」），用作履行及清償本人／吾等的清償責任和債務。本人／吾等明白香港結算因應華盛證券承擔的義務對本人／吾等的證券設定固定押記；
4. Deposit any of my/our securities collateral to any other recognized clearing house or any other registered and licensed intermediary which conducts securities transactions as a collateral to discharge and satisfy VCL's settlement obligations and liabilities;  
將本人／吾等的任何證券抵押品存放給任何其他認可結算所或者其他有獲發牌或獲註冊進行證券交易的中介人，作為解除華盛證券在交收上的法律責任的抵押品；以及
5. If VCL provides financial accommodation to me/us during the course of the securities transaction and any other approved or registered regulated activities, VCL may conduct actions stated in (1), (2), (3) and/or (4) above to transfer or store any of my/our securities collateral as described in the paragraph.

若華盛證券在證券交易過程中以及任何其它已經獲發牌或已獲註冊的受規管活動過程中，向本人／吾等提供財務通融，可根據上述第（1）、（2）、（3）和／或（4）段所述調動或存放本人／吾等的任何證券抵押品。

I/We understand that VCL can take any of the above actions without giving notice to me/us.  
華盛證券可以不向本人／吾等發出通知而採取上述行動。

I/We understand that this Standing Authority does not affect VCL's right to dispose of my/our securities collateral for the purposes of discharging my/our legal obligations or liability to VCL or any other third party.  
本人／吾等明白本授權書不影響華盛證券為解除由本人／吾等對華盛證券或第三者所負的法律責任，而處置或促使華盛證券處置本人／吾等證券抵押品的權利。

This Standing Authority is issued to VCL in view of VCL's agreement to continue to maintain my/our securities margin account.  
此賦予華盛證券之授權乃鑒於華盛證券同意繼續維持本人／吾等之證券融資賬戶戶口。

## H2. 香港投資者識別碼制度及場外證券交易匯報制度 – 個人資料使用同意

### Hong Kong Investor Identification Regime and Over-the-counter Securities Transactions Reporting Regime – Consent Letter for Personal Data Processing

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

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

I/we acknowledge and agree that VCL may collect, store, process, use, disclose and transfer personal data relating to me/us (including my/our CID and BCAN(s)) as required for VCL to provide services to me/us in relation to securities listed or traded on the Stock Exchange of Hong Kong ("SEHK") and for complying with the rules and requirements of SEHK and the Securities and Futures Commission ("SFC") in effect from time to time. Without limiting the foregoing, this includes – 本人/吾等明白並同意，華盛證券為了向本人/吾等提供與在香港聯合交易所（下稱「聯交所」）上市或買賣的證券相關的服務，以及為了遵守不時生效的聯交所與證券及期貨事務監察委員會（下稱「證監會」）的規則和規定，華盛證券可收集、儲存、處理、使用、披露及轉移與本人/吾等有關的個人資料（包括本人/吾等的客戶識別信息及券商客戶編碼）。在不限制以上的內容的前提下，當中包括 –

- (a) disclosing and transferring my/our personal data (including CID and BCAN(s)) to SEHK and/or the SFC in accordance with the rules and requirements of SEHK and the SFC in effect from time to time;  
根據不時生效的聯交所及證監會規則和規定，向聯交所及／或證監會披露及轉移本人/吾等的個人資料(包括客戶識別信息及券商客戶編碼)；
- (b) allowing SEHK to 允許聯交所：
- i. collect, store, process and use my/our personal data (including CID and BCAN(s)) for market surveillance and monitoring purposes and enforcement of the Rules of the Exchange of SEHK; and  
收集、儲存、處理及使用本人/吾等的個人資料(包括客戶識別信息及券商客戶編碼)，以便監察和監管市場及執行《聯交所規則》；
- ii. disclose and transfer such information to the relevant regulators and law enforcement agencies in Hong Kong (including, but not limited to, the SFC) so as to facilitate the performance of their statutory functions with respect to the Hong Kong financial markets; and  
向香港相關監管機構和執法機構(包括但不限於證監會)披露及轉移有關資料，以便他們就香港金融市場履行其法定職能；及
- iii. use such information for conducting analysis for the purposes of market oversight; and  
為監察市場目的而使用有關資料進行分析；及
- (c) allowing the SFC to 允許證監會：
- i. collect, store, process and use my/our personal data (including CID and BCAN(s)) for the performance of its statutory functions including monitoring, surveillance and enforcement functions with respect to the Hong Kong financial markets; and  
收集、儲存、處理及使用本人/吾等的個人資料(包括客戶識別信息及券商客戶編碼)，以便其履行法定職能，包括對香港金融市場的監管、監察及執法職能；及
- ii. disclose and transfer such information to relevant regulators and law enforcement agencies in Hong Kong in accordance with applicable laws or regulatory requirements.  
根據適用法例或監管規定向香港相關監管機構和執法機構披露及轉移有關資料。
- (d) I/we allow and agree us to provide BCAN to Hong Kong Securities Clearing Company Limited ("HKSCC"), such as to allow HKSCC to 本人/吾等允許及同意本公司向香港中央結算有限公司(「香港結算」)提供券商客戶編碼，並允許香港結算：
- i. retrieve from SEHK (which is allowed to disclose and transfer to HKSCC), process and store your CID and transfer your CID to the issuer's share registrar to enable HKSCC and/ or the issuer's share registrar to verify that you have not made any duplicate applications for the relevant share subscription and to facilitate IPO balloting and IPO settlement; and  
從聯交所取得、處理及儲存允許披露及轉移給香港結算屬於客戶的身份識別資料，及向發行人的股份過戶登記處轉移客戶的身份識別資料，以便核實客戶未就相關股份認購進行重複申請，以及便利首次公開招股抽籤及首次公開招股結算程序；及
- ii. process and store your CID and transfer your CID to the issuer, the issuer's share registrar, the SFC, SEHK and any other party involved in the IPO for the purposes of processing your application for the relevant share subscription or any other purpose set out in the IPO issuer's prospectus.  
處理及儲存客戶的身份識別資料，及向發行人、發行人的股份過戶登記處、證監會、聯交所及其他公開招股的有關各方轉移客戶的身份識別資料，以便處理客戶對有關股份認購的申請，或為載於公開招股發行人的招股章程的任何其他目的。

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

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

I/we also understand that for the avoidance of doubt, this Consent Letter shall be supplemental to, but not as substitute for, the Client's Agreement.  
本人/吾等亦明白，為避免疑義，本同意表格為對《客戶協議書》的補充，而非替代。

Failure to provide us with my/our personal data or consent as described above may mean that VCL will not, or will no longer be able to, as the case may be, carry out my/our trading instructions or provide me/us with securities related services (other than to sell, transfer out or withdraw my/our existing holdings of securities, if any).  
本人/吾等如未能向我們提供個人資料或上述同意，可能意味著華盛證券不會或不能夠再（視情況而定）執行本人/吾等的交易指示或向本人/吾等提供證券相關服務，惟出售、轉出或提取本人/吾等現有的證券持倉（如有）除外。

Notes 備註：

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

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

## H. CLIENT'S ACKNOWLEDGEMENT, UNDERTAKING AND SIGNATURE 客戶確認、承諾及簽署

- I/We confirm that I/we have read, fully understand and agree to all the terms and conditions contained hereinabove, in particular Section H.  
本人/吾等確認已閱讀並同意以上所有（由其是H部份的）條款及條件。
- I/We understand that the opening of the Account(s) is subject to the final acceptance of VCL as the case may be.  
本人/吾等明白華盛證券（視情況而定）有最終接納開戶與否之權利。
- I/We agree that, in the event of any discrepancy between the Chinese and English version, the English version shall prevail.  
倘若中文版本與英文版本在解釋或意義方面有任何歧義，本人/吾等同意應以英文版本為準。

Acknowledged and undertaken by the Client  
客戶確認及承諾：

Account Holder (1) 賬戶持有人(1)

Account Holder (2) 賬戶持有人(2)

Client Signature

客戶簽署：

Client Signature

客戶簽署：

Client Name

客戶姓名：

Client Name

客戶姓名：

Date

日期：

Date

日期：

### For Joint Account Only 只適用於聯名賬戶

Relationship of Account Holder (1) and Account Holder (2)

賬戶持有人(1)與賬戶持有人(2)的關係：(Please specify 請註明)：

All written instructions of the account shall be:

所有賬戶書面指示須由：

Jointly signed by Account Holder (1) **and** Account Holder (2)  
賬戶持有人(1)及賬戶持有人(2)  
同時簽署

Singly signed by **either** Account Holder (1) **or** Account Holder (2)  
賬戶持有人(1)或賬戶持有人(2)  
獨立簽署

Singly signed by Account Holder (1)  
賬戶持有人(1)獨立簽署

Singly signed by Account Holder (2)  
賬戶持有人(2)獨立簽署

## I. CERTIFICATION (to be completed by a staff member of VCL or its affiliates or a Professional) 驗證 (由華盛證券或其聯繫人士的僱員或專業人士填寫)

I hereby certify that the signing of the Account Opening Form by the Client(s) named in this Account Opening Form and sighting of the related original identity documents of the Client(s) is/are executed.

本人謹此驗證本開戶表格所指明的客戶的開戶表格的簽立及有關正本身份證明文件的見證在本人面前執行及驗證。

Name of Witness\*

見證人姓名

Signature of Witness

見證人簽署

Date

日期

Capacity of Witness

見證人身份：

Staff member of VCL or its affiliates 華盛證券或其聯繫人士的僱員  
CE No. (if any) 中央編號 (如有)：

Justice of the Peace 太平紳士

Professional Person (Please provide name card) 專業人士 (請提供名片)  
Occupation 職業：

\*If this Account Opening Form is not executed in the presence of a licensed representative of VCL, the signing of this Account Opening Form by the Client(s) and the sighting of related identity documents of the Client(s) should be certified in the presence of any licensed representative or an affiliate of other licensed or registered person, a Justice of the Peace, a professional person (such as a certified public accountant, a lawyer, a notary public or a chartered secretary). Alternatively, the Client(s) may choose to give VCL a crossed cheque bearing the Client's name shown in his/her identity document and drawn on his/her bank account with a licensed bank in Hong Kong in favour of "Valuable Capital Limited" at the amount of no less than HK\$10,000.00. The signature on the cheque issued by the Client(s) and the signature of the Client(s) on this Account Opening Form shall be the same. Kindly note that the new account will not be activated until the cheque is cleared. 如本開戶表格並非在華盛證券持牌代表前簽立，則客戶的本開戶表格的簽立，及有關正本身份證明文件的見證，應由太平紳士或專業人士（例如執業會計師、律師、公證人或特許秘書）的面前執行及驗證。此外，客戶亦可以選擇向華盛證券提供一張劃線支票，該支票需要是客戶在香港的持牌銀行開立的賬戶所簽發的支票，並載有客戶在其身份證明文件上所顯示的姓名，該支票的數額不得少於港幣10,000.00元正，而該支票抬頭人須為「華盛證券有限公司」。客戶請注意新賬戶必須待清算支票後才可使用。

**J. DECLARATION BY VCL's LICENSED REPRESENTATIVE 華盛証券持牌代表聲明**

I, (Name of VCL's Licensed Representative) \_\_\_\_\_ (CE No.) \_\_\_\_\_ hereby declare that I have  
 本人，(華盛証券持牌代表的姓名) \_\_\_\_\_ (中央編號) \_\_\_\_\_，謹此聲明，本人：

- Provided the Risk Disclosure Statements in the language of the Client's choice (English or Chinese);  
 已按照客戶所選擇的語言（英文或中文）提供風險披露聲明書；
- Invited the Client to read such Risk Disclosure Statements, to ask questions and take independent advice if the Client wishes; and  
 邀請客戶閱讀該風險披露聲明書、提出有關問題及徵詢獨立意見（如客戶有此意願）；及
- Fully explained the contents of Risk Disclosure Statements to the Client in a language which the Client understands.  
 已按照客戶所理解的語言，向客戶完全解釋風險披露聲明的內容。

\_\_\_\_\_  
 Signature of VCL's Licensed Representative  
 華盛証券持牌代表簽署

\_\_\_\_\_  
 Date  
 日期

**For Internal Use Only 只供內部使用**

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