

盛德證券有限公司 Prestige Securities Limited
香港中環皇后大道中 2 號長江集團中心 5102 室
Suite 5102, Cheung Kong Center, 2 Queen's
Road Central, Hong Kong
C.E. 編號: BFI474

賬戶名稱 A/C Name: _____
賬戶號碼 A/C No.: _____
經紀 AE: _____

1. 賬戶種類 Account Type

與盛德證券有限公司交易賬戶 Account (s) for Securities trading with Prestige Securities Limited ("PSL")

客戶種類 Customer Type : 公司/機構 Corporate / Institution 獨資/合夥 Sole Proprietorship / Partnership 賬戶種類 Account type : 現金賬戶 (港股) Cash A/C-HK Stock 保證金賬戶 (港股) Margin A/C-HK Stock

電子交易服務 Electronic: 香港股票 HK Stock 環球股票 Global Stock 環球股票 Global Stock

2. 公司資料 Business Data

(英文 English)

公司名稱 Name of Company : _____

(中文 Chinese)

於註冊/成立國家之註冊地址 Registered Address in Country of Incorporation / Establishment : _____ (郵編 Postal Code)

總辦事處 / 通訊地址 Principal office / Correspondence address : _____ (郵編 Postal Code)

公司電話 Office Phone No. : _____ 傳真號碼 Fax No. : _____

此電郵地址將會用作收取電子賬戶 This email address will be registered for electronic statement.

電郵地址 : (適用於網上交易及 / 或電子賬戶服務) Email Address : (For internet trading and / or electronic statement) _____

業務性質 Nature of Business : _____

經營業務年數 Years in the Business : _____ 公司註冊號碼 Certificate of Incorporation No. : _____

註冊地點及日期 Place and Date of Incorporation _____ 商業登記號碼 Business Registration No.: _____

3. 客戶常設交收銀行賬戶指示 Bank Account Standing Instruction for Securities / Futures Account Settlement

銀行名稱 Bank Name : _____
賬戶號碼 Account No. : _____

* 除非客戶於提款指示中指定另外之付款方式，由客戶證券賬戶提取之款項將會存入以上之銀行賬戶。
Unless the undersigned specifies other payment method in the funds withdrawal instruction, funds withdrawn from the undersigned's Securities Account shall be paid into the above bank account of the und ersigned.
* 請提供存摺副本或銀行結算副本以便證明。
Please provide copy of the passbook or copy of undersigned.

4. 財務及投資資料簡要 Financial and Investment Summary

最近期經核數師作實之稅後盈/虧 Latest Profit / Loss after tax based on the latest audited account(s)

HK\$0 - HK\$500,000 HK\$500,001 - HK\$3,000,000 HK\$3,000,001 - HK\$5,000,000
 HK\$5,000,001 - HK\$30,000,000 >HK\$30,000,000 其他 Others : _____

最近期經核數師作實之淨資產值 Net Asset based on the latest audited account(s)

< HK\$1,000,000 HK\$1,000,000 - HK\$10,000,000
 HK\$10,000,000 - HK\$50,000,000 HK\$50,000,000 - HK\$100,000,000
 > HK\$100,000,000

資金來源 Source of Fund :	<input type="checkbox"/> 公司運營資金 Company's operating fund <input type="checkbox"/> 其他 Others : _____
投資經驗 Investment Experiences :	<input type="checkbox"/> 香港上市證券 HK listed securities _____ 年 years <input type="checkbox"/> 沒有 <input type="checkbox"/> 香港以外上市證券 Overseas listed securities _____ 年 years <input type="checkbox"/> 香港期貨及期權 HK futures and options _____ 年 years <input type="checkbox"/> 香港以外期貨及期權 Overseas futures and options _____ 年 years
投資目的 Investment Objective :	<input type="checkbox"/> 資本增長 Capital Appreciation <input type="checkbox"/> 投機 Speculation <input type="checkbox"/> 對沖 Hedging <input type="checkbox"/> 賺取收入 Generating Income <input type="checkbox"/> 套戩 Arbitrage
投資目標 Investment Target :	<input type="checkbox"/> 短期(少於 3 個月) Short Term (<3 months) <input type="checkbox"/> 中期(3 -12 個月) Medium Term (3 - 12 months) <input type="checkbox"/> 長期(1 年以上) Long Term (>1 year)

5. 資料披露 Disclosure of Information

5.1 相關身份披露 Disclosure of identity

- i. 貴公司之董事、合夥人或主要股東是否任何交易所、交易委員會、結算所、銀行或信託公司代理人、高級人員、員工；或任何引薦經紀的聯屬人；或任何證券經紀、期貨經紀或持牌法團的高級人員、合夥人、董事或員工？

Are your directors, partners or substantial shareholders an agent, officer or employee of any exchange, board of trade, clearing house, bank or trust company; or an affiliate of any introducing broker, or an officer, partner, director or employee of any securities broker, futures broker or licensed corporation?

<input type="checkbox"/> 否 No	<input type="checkbox"/> 是 (請詳述) Yes (Please provide details):	該人士的姓名 Name of the person	機構名稱 Name of the institution
		_____	_____
<p>貴公司及上列人士同意盛德證券有限公司可於提供任何服務給予貴公司前接觸上述人士並須得到該人士同意。 Your Company and the above person(s) agree that Prestige Securities Limited may approach the above person(s) to obtain its consent before providing any service to your Company.</p>			

- ii. 貴公司之董事、合夥人或主要股東有沒有親屬於盛德證券有限公司工作

Do any of your directors, partners or substantial shareholders have relative(s) working in Prestige Securities Limited

<input type="checkbox"/> 沒有 No	<input type="checkbox"/> 有 (請詳述) Yes (Please provide details):	該人士的姓名 Name of the person	親屬名稱 Name of relative	關係 Relationship
		_____	_____	_____

5.2 最終受益於交易及承擔風險人士 Person ultimately benefiting from the transactions and bearing the risks :

<input type="checkbox"/> 本公司(本公司不是替第三者作為公司代理人處理賬戶) The company (we are not acting as nominee company for a third party)	<input type="checkbox"/> 其他 (請詳述/提供附件) Others (Please provide details / supporting documents):	名稱 Name :	身份證 / 護照號碼 ID / Passport No. :
		地址 Address :	
		(郵編 Postal Code)	電話 Phone No. : () -

5.3 終負責發出指示的人士 Person ultimately responsible for originating instructions:

<input type="checkbox"/> 本公司(本公司不是替第三者作為公司代理人處理賬戶) The company (we are not acting as nominee company for a third party)	<input type="checkbox"/> 其他 (請詳述/提供附件) Others (Please provide details / supporting documents):	名稱 Name :	身份證 / 護照號碼 ID / Passport No. :
		地址 Address :	
		(郵編 Postal Code)	電話 Phone No. : () -

5.4 關連客戶 Connected Client

適用於盛德證券有限公司的客户 For customer of Prestige Securities Limited only

請披露貴公司是否為盛德證券有限公司的「關連客戶」(根據香港聯合交易所有限公司證券上市規則所定義)及其詳情。

Please disclose whether your Company is a "connected client" (as defined under the Rules Governing the Listing of Securities of The Stock Exchange of Hong Kong Limited) of PSL is a member and if so, please provide the details.

<input type="checkbox"/> 否 No	<input type="checkbox"/> 是 (請詳述/提供附件) Yes (Please provide details / supporting documents):

5.5 其他 Other

i. 貴公司是否於香港以外地區，成立的公司客戶? Is your Company incorporated outside Hong Kong?

- 是 - 請填寫法律文件接收人委任表格 否
Yes - please complete Process Agent appointment form No

ii. 適用條款的管轄語文版本 Prevailing language version of the applicable Terms and Conditions

- 中文 Chinese 英文 English

6. 董事局委任決議書 (如適用) Board Resolution (if applicable)

公司名稱 Name of Company _____

本公司董事會在 Minutes of a Meeting of the Board of Directors of the Company held at

地址 Address : _____

並於 on (日期 Date _____) 舉行的董事會會議錄。

出席人(出席董事全名)

Present (Full name of

Directors present) : _____

會議主席 Chairman of the meeting : _____

通知書及法定人數 Notice and Quorum

有關通知已按要求發出，且與會人數符合會議法定人數的要求，主席宣佈會議有效。

The requisite notices having been given and a quorum being present, the Chairman declared the meeting duly constituted.

1. 授權簽署人 Signing Officer

茲決議本公司將於盛德證券有限公司開立證券交易賬戶，並且授權下列人士為賬戶授權簽署人，即時生效。任何一位授權簽署人可代表本公司：(i) 簽署、簽訂及交付與賬戶相關之所有協議或文件，及 (ii) 簽發指令從 / 向賬戶提取 / 轉賬任何資金、證券、抵押品或其他資產，及處理所有與賬戶結算相關之事宜。

It was resolved that with immediate effect a securities trading account be opened with Prestige Securities Limited and that the following person(s) is / are appointed as signing officer of the Company. Any one of the signing officers can act on behalf of the Company: (i) to sign, execute and deliver all agreements and documents in relation to the account, and (ii) to sign instruction to transfer / withdraw any money, securities, collateral or other property into or out of the account, and deal with all settlement matters in relation to the account

姓名 Name	身份證號碼 / 護照號碼 I.D. / Passport No.	簽署式樣 Specimen	聯絡電話 Contact Phone No.

2. 交易人 Trading Officer

茲決議下列人士被授權為本公司賬戶的交易人，並代表本公司進行買賣(包括透過以口頭、電子、書面或其他方式)，即時生效。

It was resolved that with immediate effect, the following person(s) is / are appointed as trading officer and authorized to give trading instructions (whether verbally, electronically, in writing or otherwise) for and on behalf of the Company:

姓名 Name	身份證號碼 / 護照號碼 I.D. / Passport No.	簽署式樣 Specimen	聯絡電話 Contact Phone No.

商務私章式樣 (如適用)

Company Chop Specimen (if applicable)

會議結束 END OF MEETING

沒有進一步的討論，主席宣佈會議結束。

There being no further business, the Chairman declared the meeting closed.

主席 Chairman

7. 保證金戶口客戶資料披露 Margin Account Customer's Disclosure of Information

適用於盛德證券有限公司的保證金客戶 For Margin Account customer of Prestige Securities Limited only

在盛德證券有限公司其他關連賬戶 Any related account(s) maintained with Prestige Securities Limited: 有 Yes (請詳述 Please provide details) 無 Nil
關係 Relationship: 1. 貴公司控制另一盛德證券有限公司的公司保證金客戶的 35% 或以上的表決權。

Your company is in control of 35% or more of the voting rights of another corporate margin client of PSL.

2. 另一盛德證券有限公司的孖展客戶或公司保證金客戶控制貴公司 35% 或以上的表決權(如該客戶為個人，則包括其配偶的表決權)。
Another margin client or corporate margin client of PSL controls 35% or more of the voting rights of your company (if the other margin client is an individual, includes the voting rights of his / her spouse).

3. 貴公司與另一盛德證券有限公司的公司保證金客戶均屬同一公司集團的成員。

Your company and another corporate margin client of PSL are members of same group of companies.

賬戶姓名 / 名稱 Name of Account	百分比 Percentage (%)	賬戶號碼 Account No.	關係 Relationship
_____	_____	_____	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3
_____	_____	_____	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3
_____	_____	_____	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3

8. 客戶聲明 Customer's Declaration

適用於現金賬戶客戶及保證金賬戶客戶 For Cash Account customer and Margin Account customer

本公司保證上述資料為真實及正確，並授權盛德證券有限公司（簡稱“盛德”）通過任何人士進行核實。本公司承諾在客戶資料表格提供的資料如有任何變更，會立即通知盛德。此客戶資料表格受盛德的客戶綜合協議書（簡稱“該協議書”）的條款及附錄(如適用)約束。本公司已閱讀並已明白該協議書的條款及附錄(如適用)以及提供予本公司包含於該協議書內的有關香港個人資料(私隱)條例之客戶通知，並且同意受不時經修改及/或補充的該等條款及該客戶通知所約束。本公司確認已按照本公司選擇的語言提供包含於該協議書內的風險披露聲明，並已獲邀閱讀該風險披露聲明、提出問題及徵求獨立意見(如本公司有此意願)。本公司知悉並確認已填寫年度常設授權書，授權盛德按照年度常設授權書的條文，處理有關賬戶（定義見該協議書），以及任何不時代表本公司持有的其他獨立賬戶的資金。此項授權由本公司簽署年度常設授權書當日起計為期不超過 12 個月，並可按照年度常設授權書內具體列明的適用法律及規則續訂權限或被視為續訂權限。

Our Company warrants that the above information is true and correct, and authorizes Prestige Securities Limited (“PSL”) to verify it with any source. Our Company undertakes to promptly notify PSL if there is any change in the information provided by our Company in this Customer Information Statement. This Customer Information Statement is subject to the Terms and Conditions stated in the Client Master Agreement of PSL (“the Agreement”) and any Addendum (if applicable) from time to time. Our Company confirms that our Company has read and understood the Terms and Conditions stated in the Agreement and any Addendum (if applicable) from time to time and Circular relating to the Personal Data (Privacy) Ordinance included in the Agreement provided to our Company, and agrees to be bound by each of the above as amended and / or supplemented from time to time. Our Company confirms that the Risk Disclosure Statement contained in the Agreement has been provided to our Company in the language of our choice and that our Company has been invited to read the same, to ask questions and to take independent advice (if our Company wishes).

Our Company acknowledges and confirms that our Company has completed an Annual Standing Authority form whereby our Company has authorized PSL deal with funds in the Account(s) (as defined in the Agreement) and any other segregated accounts held on our behalf from time to time in accordance with the provisions of the Annual Standing Authority form. This authority is given for a period of not more than twelve months from the date on which our Company signs the Annual Standing Authority form and may be renewed or deemed to be renewed in accordance with the applicable laws and rules and as specified in the Annual Standing Authority form.

只適用於保證金賬戶客戶 For Margin Account customer only

本公司現申請盛德之保證金證券貸款服務，並同意接受盛德的保證金賬戶之附加條款（下稱“附加條款”）及該協議書內的其他條款及其不時的修改所約束。本公司確認本公司已閱讀有關條款(尤其是其分別的風險披露聲明)。本公司確定已按照本公司選擇的語言提供包含於該協議書內的附加條款及風險披露聲明，並已獲邀閱讀該風險披露聲明、提出問題及徵求獨立的意見(如本公司有此意願)。本公司謹此承諾及確認本公司已授權盛德根據上述附加條款規定處理本公司的證券及證券抵押品。授權有效期為由協議日期起計不超過 12 個月，有關授權可根據適用的法律及規則，在(1)協議訂立之年份的最後一天或之前及(2)隨後之每個曆年的最後一天或之前，經本公司同意延續或被視為延續，而每一次延續有效期為 12 個月。

Our Company hereby applies for the Margin Financing Service of PSL and agrees to be bound by the Additional Terms for Margin and other Terms and Conditions stated in the Agreement as amended and / or supplemented from time to time. Our Company confirms that our company has read and understood the said Terms and Conditions (in particular their respective Risk Disclosure Statements). Our Company confirms that the Risk Disclosure Statements and the Additional Terms contained in the Agreement have been provided to our Company in the language of our choice, and that our Company has been invited to read the same, to ask questions and to take independent advice (if our company wish).

Our Company acknowledges and confirms that our Company has authorized PSL to deal with our securities and securities collateral in accordance with the aforesaid Additional Terms. This authority is given for a period of not more than twelve months from the date hereof and may be renewed by our consent, or deemed to be renewed, at or before the end of (1) the calendar year of the date hereof and (2) each subsequent calendar year for, in each instance, a further twelve months in accordance with the applicable laws and rules.

客戶簽署 / 簽署式樣及公司蓋章 (如適用) Client Signature / Specimen Signature and Company Chop (if applicable)

日期
Date _____

9. 佣金 / 利息 Commission Rate / Interest

		標準費率 Standard Rate	客戶實際收費 Actual Charge		標準費率 Standard Rate	客戶實際收費 Actual Charge
證券 Securities	電話下單佣金 (港股) Phone Order Commission (HK)	%, \$ (Min)	%, \$ (Min)	電話下單佣金 (美股) Phone Order Commission (US)		%, US\$ (Min)
	經網上交易下單佣金 (港股) Internet Commission (HK)	%, \$ (Min)	%, \$ (Min)	經網上交易下單佣金 (美股) Internet Commission (US)		%, US\$ (Min)
	信貸利息(保證金) Interest Rate (Margin)	%	P + %	經紀佣金(滬股) Commission Rate (SSE)		%, CNY (Min)

客戶簽署
Signed by Client:

10. 見證客戶簽署及身份證明文件驗證 (如適用) Certification of Client Signature and Identity Proof (if applicable)

若客戶/聯名客戶並非在盛德證券有限公司之指定僱員面前簽立本開戶表格或本開戶表格並非連同恰當的支票*一併遞交，則以下部分應由指定人士，包括其他證監會持牌人或註冊人、太平紳士或專業人士例如銀行分行經理、執業會計師、律師或公證人，簽署驗證。而該指定人士需提供其已簽署之身份證明文件副本及專業資格證明文件之副本。

If this Account Opening Form is not executed in front of Prestige Securities Limited's designated staff or is not submitted with an appropriate cheque*, a specified person, including any SFC licensed or registered person, a Justice of Peace or a professional such as a Branch Manager of a bank, Certified Public Accountant, Lawyer or Notary Public should be required to sign below. The specified person should provide us with self-signed ID copy and copy of the professional qualification documents.

下述簽署人士謹此驗證上述客戶/聯名客戶簽立此文件(連同客戶協議書)及其有關的身份證明文件：The undersigned person hereby certify the signing of this Account Opening Form (together with the Client Agreement) by the above Client(s) and sighting of related identity documents of such Client(s)

*詳情請詢問盛德員工 Please inquire PSL staff for details

日期 Date: _____ 日 DD _____ 月 MM _____ 年 YY

姓名 Name:

所屬專業及職銜 Profession /Title:

簽署及驗證
Signed and Certified by:

聯絡地址
Address:

聯絡電話
Contact No:

11. 職員聲明 Declaration by Staff

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

I, a registered person, declare that I have provided the above client with a copy of the Risk Disclosure Statement in a language of the Client's choice and invited the client to read the Risk Disclosure Statement, ask questions and take independent advice if the client so wishes.

以上客戶簽署乃於本人面前簽立。

The above Client signature(s) was/were made in my presence.

日期 Date: _____ 日 DD _____ 月 MM _____ 年 YY

職員姓名 Name of Staff:

中央編號 CE Number:

職員簽署
Signed by Staff:

--

向客戶確認 Confirmation with client:

內線 Ext.: _____

時間 Time: _____ 時 HH _____ 分 MM

--

接受及確認 Accepted and Confirmed by:

盛德證券有限公司

Prestige Securities Limited

簽署由

Signed by:

獲授權姓名

Authorized Name: _____

日期 Date: _____ 日 DD _____ 月 MM _____ 年 YY

獲授權簽署

Authorized Signature(s):

--