

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: _____

客戶名稱 (英文) Name of Customer (English) : _____

客戶名稱 (中文, 如適用) Name of Customer (Chinese, if applicable) : _____

商業地址 Business Address: _____ 性別 Gender: _____

通訊地址
Correspondence
Address : _____

公司電話 Office Tel No. : _____ 公司傳真 Office Fax No. : _____

電郵地址 E-mail Address : _____ 公司網址 Company Website : _____

聯絡人 Contact Person : 名稱 Name 電話 Phone No. 傳真號碼 Fax No. 電郵地址 E-mail address

(1) _____

(2) _____

商業性質 (註解1) : Nature of Business (Note 1) :

<p>(a) <input type="checkbox"/> 交易所/結算所/自動化交易服務提供者 Exchange company / clearing house / automated trading services provider</p> <p>(b) <input type="checkbox"/> 中介人或受香港以外地方規管的投資服務提供者 Intermediary or investment services provider regulated outside Hong Kong</p> <p>(c) <input type="checkbox"/> 經認可的財務機構 / 受香港以外地方規管的銀行 Authorized financial institution / bank regulated outside Hong Kong</p> <p>(d) <input type="checkbox"/> 經認可 / 受規管的保險公司 Authorized / regulated insurance company</p> <p>(e) <input type="checkbox"/> 經認可 / 受規管的集體投資計劃或其營辦人 Authorized / regulated collective investment scheme or persons operating them</p> <p>(f) <input type="checkbox"/> 經註冊的退休計劃 / 成分基金 / 經核准的受託人 / 受《強制性公積金計劃條例》規管的服務提供者 / 屬經註冊的退休計劃或成份基金投資經理 Registered retirement scheme / constituent fund / approved trustee / service provider regulated under the Mandatory Provident Fund Schemes Ordinance / investment manager of the registered retirement scheme or constituent fund regulated under the Mandatory Provident Fund Schemes Ordinance</p>	<p>(g) <input type="checkbox"/> 經註冊的職業退休計劃 / 受其本籍當地規管的離岸計劃 / 其管理人 Registered occupational retirement scheme / regulated offshore scheme / its administrator defined under the Occupational Retirement Schemes Ordinance</p> <p>(h) <input type="checkbox"/> 政府(市政府除外) / 中央銀行 / 多邊機構 Government (other than municipal government) / central bank / multilateral agency</p> <p>(i) <input type="checkbox"/> (i) 中介人 / 認可財務機構 / 受香港以外地方規管的銀行 / 或投資服務提供者的全資附屬公司 Wholly owned subsidiary of an intermediary / authorized financial institution / bank or investment services provider regulated outside Hong Kong</p> <p>(ii) 中介人 / 認可財務機構 / 受香港以外地方規管的銀行 / 或投資服務提供者的全資擁有控股公司 Holding Company which wholly owns an intermediary / authorized financial institution / bank or investment services provider regulated outside Hong Kong</p> <p>(iii) (ii) 提述的控股公司的其他的全資附屬公司 Other wholly owned subsidiary of a holding company referred to in (ii)</p>
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客戶的規管人是 Customer is regulated by : _____

規管人網址 Website of Regulator : _____

註冊地點 Place of Incorporation : _____

註冊日期 Date of Incorporation : _____

公司註冊証 / 商業登記証號碼
No. of Certificate of Incorporation / Business Registration : _____

經授權為機構賬戶交易人士 (註解3) Persons authorized to deal for the institutional account (Note3) :

指示 Instruction	姓名 Name	職位 Position	聯絡電話 Contact No.
交易 Trading			
非交易 Written (non-trading)			

我們保證本客戶資料表格和我們以下提供的附加文件(如註解3所列)所載的資料在各方面均是真實、完整和正確的，並授權盛德證券有限公司(簡稱“盛德”)通過其認為必要的任何途徑加以核實。

我們是證券及期貨條例(香港法例第571章)下的專業投資者(其摘錄載於註解1)並同意被視為專業投資者。如我們不再符合專業投資者資格，我們將立即通知盛德。除非我們另有指示，我們同意並承認盛德不需要根據證券及期貨(成交單據，賬戶結單及收據)規則向我們提供成交單據，賬戶結單及收據。

客戶綜合協議書(簡稱“該協議書”)已載列於盛德的網址供我們參閱。我們確定已經閱讀本客戶資料表格及其中的註解(包括註解2所載被視為專業投資者的後果)、該協議書之條款和條件連同與盛德提供的服務有關的附錄(如適用)，並完全明白其中內容。本客戶資料表格連同該協議書及附錄(如適用)合稱“協議”。

我們同意並承認如我們與盛德經營業務或繼續與其經營業務，我們將被視為接受並同意遵守協議所載的條款和條件，不論盛德有否收到我們的一份本客戶資料表格的簽署文本，而自我們首次與盛德進行任何業務之日起，協議應構成盛德與我們之間具法律約束力的合約。我們會另外簽發常設交易和交收指示給你們以便日後的業務處理。如本客戶資料表格(包括其註解)的中，英文版本有任何分歧，概以英文版本為準。

We warrant that the information contained in this Customer Information Statement and the supporting documents provided by us as set out in Note 3 below are true, complete and correct in all aspects and authorize Prestige Securities Limited (“PSL”) to verify it with any source that it may deem necessary.

We are a Professional Investor (as defined under the Securities and Futures Ordinance (“SFO”) (Cap. 571 of the Laws of Hong Kong), an extract of which is set out in Note 1) and agree to be treated as such. We shall inform PSL immediately if we no longer qualify as a Professional Investor. We agree and acknowledge that PSL is not required to provide us with contract notes, statements of accounts or receipt pursuant to the Securities and Futures (Contracts Notes, Statements of Accounts and Receipts) Rules, unless we instruct otherwise.

The Client Master Agreement (“Master Agreement”) has been made available to us on PSL's website. We confirm that we have read and fully understand this Customer Information Statement, the notes to this Customer Information Statement (including the consequence of being treated as professional investor as set out in Note 2), the Master Agreement together with any Addendum in relation to the services provided by PSL (if applicable).

This Customer Information Statement, together with Master Agreement and the Addendum (if applicable) are collectively referred to as the “Agreement”.

We agree and acknowledge that if we carry on or continue to carry on business with PSL, we will be deemed to accept and abide by the terms and conditions set out in the Agreement regardless of whether PSL has received from us an executed copy of this Customer Information Statement, and that the Agreement shall constitute a legally binding contract between PSL and us with effect from the date upon which we first transact any business with PSL. Our standing dealing and settlement instructions will be issued to you separately for your further action accordingly. In the event of discrepancy between the English version and Chinese version of this Customer Information Statement (including the notes hereto) the English version shall prevail.

簽名

(如適用請加公司蓋章)

Signature

(Affix with company chop if applicable) : _____ 日期 Date : _____

授權簽署人 Authorized

H. 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

或 Or

客戶簽署

Signed by Client:

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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: _____

獲授權簽署

Authorized Signature(s):

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

註解:

1. 摘錄自證券及期貨條例附表一：

"專業投資者"指

- (a) 認可交易所、認可結算所、認可控制人或認可投資者賠償公司，或根據本條例第95(2)條獲認可提供自動化交易服務的人；
 - (b) 中介人，或經營提供投資服務的業務並受香港以外地方的法律規管的其他人；
 - (c) 認可財務機構，或並非認可財務機構但受香港以外地方的法律規管的銀行；
 - (d) 根據《保險公司條例》(第41章)獲授權的保險人，或經營保險業務並受香港以外地方的法律規管的其他人；
 - (e) 符合以下說明的計劃：
 - (i) 屬根據本條例第104條獲認可的集體投資計劃，或
 - (ii) 以相似的方式根據香港以外地方的法律成立，並(如受該地方的法律規管)根據該地方的法律獲准許營辦，或營辦任何該等計劃的人；
 - (f) 《強制性公積金計劃條例》(第485章)第2(1)條界定的註冊計劃，或《強制性公積金計劃(一般)規例》(第485章，附屬法例A)第2條界定的該等計劃的成分基金，或就任何該等計劃而言屬該條例第2(1)條界定的核准受託人或服務提供者或屬任何該等計劃或基金的投資經理的人；
 - (g) 符合以下說明的計劃：
 - (i) 屬《職業退休計劃條例》(第426章)第2(1)條界定的註冊計劃；或
 - (ii) 屬該條例第2(1)條界定的離岸計劃，並(如以某地方為本籍而受該地方的法律規管)根據該地方的法律獲准許營辦，或就任何該等計劃而言屬該條例第2(1)條界定的管理人的人；
 - (h) 任何政府(市政府當局除外)、執行中央銀行職能的任何機構，或任何多邊機構；
 - (i) (除為施行本條例附表5外)符合以下說明的法團：
 - (i) 屬下述者的全資附屬公司
 - (A) 中介人，或經營提供投資服務的業務並受香港以外地方的法律規管的其他人；或
 - (B) 認可財務機構，或並非認可財務機構但受香港以外地方的法律規管的銀行；
 - (ii) 屬持有下述者的所有已發行股本的控股公司
 - (A) 中介人，或經營提供投資服務的業務並受香港以外地方的法律規管的其他人；或
 - (B) 認可財務機構，或並非認可財務機構但受香港以外地方的法律規管的銀行；或
 - (iii) 屬第(ii)節提述的控股公司的任何其他全資附屬公司
2. 依照證券及期貨事務監察委員會持牌人或註冊人操守準則("準則")，當客戶根據證券及期貨條例(第571章("條例"))被界定為"專業投資者"，則盛德證券有限公司不需要履行準則下的某些規管要求，特別是，但不僅限於此，涉及到非專業投資者保障的以下幾個方面，將不適用於專業投資者：

(a) 客戶資料

盛德證券有限公司不需要確認客戶的財務狀況、投資經驗及投資目標，也不需要保證由盛德作出的任何建議或招攬的合適性。

(b) 客戶協議書

盛德證券有限公司不需要與客戶簽訂協議書及提供相關的風險披露聲明。

(c) 為客戶提供資料

盛德證券有限公司不需要

- (i) 就盛德證券有限公司，或其僱員的本身及狀況，或其他被授權代表其行事的事件通知客戶；
- (ii) 在完成客戶的一個交易後立即向客戶確定該交易的主要情況；或
- (iii) 為客戶提供關於納斯達克 - 美國證券交易所試驗計劃的資料文件。

如客戶認為其不符合或不再符合條例所述的專業投資者的資格，則應立即通知盛德證券有限公司。

3. 請提供經證實為真實副本之以下文件的影印本：

- (a) 授權開立證券帳戶及簽署開立帳戶的文件，指定專人代表公司簽署文件或下達交易指令及有相關人士之簽字樣式的董事會決議；
- (b) 最近期經審計的財務報表；及
- (c) 常設交收指示。

盛德證券有限公司保留在開立帳戶時要求客戶提交其它證明文件的權利，並且帳戶的開立需要滿足盛德證券有限公司合理的要求。

Notes:

1. Extract from Schedule 1 of the SFO:

Professional Investor means

- (a) any recognized exchange company, recognized clearing house, recognized exchange controller or recognized investor compensation company, or any person authorized to provide automated trading services under section 95(2) of this Ordinance;
 - (b) any intermediary, or any other person carrying on the business of the provision of investment services and regulated under the law of any place outside Hong Kong;
 - (c) any authorized financial institution, or any bank which is not an authorized financial institution but is regulated under the law of any place outside Hong Kong;
 - (d) any insurer authorized under the Insurance Companies Ordinance (Cap 41), or any other person carrying on insurance business and regulated under the law of any place outside Hong Kong;
 - (e) any scheme which:
 - (i) is a collective investment scheme authorized under section 104 of this Ordinance; or
 - (ii) is similarly constituted under the law of any place outside Hong Kong and, if it is regulated under the law of such place, is permitted to be operated under the law of such place, or any person by whom any such scheme is operated;
 - (f) any registered scheme as defined in section 2(1) of the Mandatory Provident Fund Schemes Ordinance (Cap 485), or its constituent fund as defined in section 2 of the Mandatory Provident Fund Schemes (General) Regulation (Cap 485 sub. leg. A), or any person who, in relation to any such registered scheme, is an approved trustee or service provider as defined in section 2(1) of that Ordinance or who is an investment manager of any such registered scheme or constituent fund;
 - (g) any scheme which:
 - (i) is a registered scheme as defined in section 2(1) of the Occupational Retirement Schemes Ordinance (Cap 426); or
 - (ii) is an offshore scheme as defined in section 2(1) of that Ordinance and, if it is regulated under the law of the place in which it is domiciled, is permitted to be operated under the law of such place, or any person who, in relation to any such scheme, is an administrator as defined in section 2(1) of that Ordinance;
 - (h) any government (other than a municipal government authority), any institution which performs the functions of a central bank, or any multilateral agency;
 - (i) except for the purposes of Schedule 5 to this Ordinance, any corporation which is
 - (i) a wholly owned subsidiary of
 - (A) an intermediary, or any other person carrying on the business of the provision of investment services and regulated under the law of any place outside Hong Kong; or
 - (B) an authorized financial institution, or any bank which is not an authorized financial institution but is regulated under the law of any place outside Hong Kong;
 - (ii) a holding company which holds all the issued share capital of
 - (A) an intermediary, or any other person carrying on the business of the provision of investment services and regulated under the law of any place outside Hong Kong; or
 - (B) an authorized financial institution, or any bank which is not an authorized financial institution but is regulated under the law of any place outside Hong Kong; or
 - (iii) any other wholly owned subsidiary of a holding company referred to in subparagraph (ii).
2. Pursuant to the Code of Conduct for Person Licensed by or Registered with the Securities and Futures Commission (the "Code") of the Securities and Futures Commission Ordinance, Prestige Securities Limited is not required to fulfil certain regulatory requirements under the Code when dealing with a customer who is classified as a "Professional Investor" under the Securities and Futures Ordinance (Chapter 571) (the "Ordinance"); in particular but without limitation, the protection available to non-Professional Investor in the following areas will not apply;
- (a) Information about clients
Prestige Securities Limited will not be required to establish such customer's financial situation, investment experience and investment objectives, nor to ensure the suitability of any recommendation or solicitation that Prestige Securities Limited may make.
 - (b) Client agreement
Prestige Securities Limited will not be required to enter into a written agreement and the provision of the relevant risk disclosure statements.
 - (c) Information for clients
Prestige Securities Limited will not be required to:
 - (i) inform the customer about Prestige Securities Limited or the identity or status of its employees or others acting on its behalf;
 - (ii) confirm promptly with such customer the essential features of a transaction after effecting a transaction for the customer; or
 - (iii) provide the customer with any documentation on the Nasdaq-Amex Pilot Program.

If a customer believes that it does not or no longer qualify as a Professional Investor described in the Ordinance, Prestige Securities Limited should be informed immediately thereof.

3. Please Provide:

- (a) Certified copy of board resolution approving the opening of securities account with Prestige Securities Limited, execution of the account opening documents, authorization for giving trading and written instruction for transactions, together with specimen signature;
- (b) Latest audited accounts; and
- (c) Standing Settlement Instruction

Prestige Securities Limited reserves the right to request for other additional documentary proof for the account opening of the Customer, and the opening of the accounts is subject to the reasonable satisfaction of Prestige Securities Limited.