



利得證券

利得證券(香港)有限公司

Lead Securities (HK) Limited

證券開戶表格

Securities Account Opening Form

個人帳戶 INDIVIDUAL	帳戶號碼 A/C No	
	帳戶名稱 A/C Name	
	帳戶分類 A/C Classified	<input type="checkbox"/> 本公司 House <input type="checkbox"/> 經紀 Account Executive 編碼 Code: _____ 客戶主任姓名 Name of AE _____

香港灣仔港灣道23號鷹君中心2307室

Rm 2307, Great Eagle Centre, 23 Harbour Road, Wan Chai, Hong Kong

電話 Tel. : (852) 3611 5933 傳真 Fax. : (852) 3611 5998

網址 Website: www.leadsecurities.hk

利得證券(香港)有限公司(中央編號:BHT984)為獲證券及期貨事務監察委員會發牌的持牌法團,可經營第1類(證券交易)受規管活動及為香港聯合交易所有限公司的交易所參與者。

LEAD SECURITIES (HK) LIMITED (CE No: BHT 984) licensed corporations by Securities and Futures Commission for carrying on Type 1 (dealing in securities) regulated activity and is an exchange participant of The Stock Exchange of Hong Kong Limited

證券交易帳戶 Securities Trading Account - 所需服務 Service(s) Required			
帳戶類別 Type of Account	<input type="checkbox"/> 現金帳戶 Cash Account <input type="checkbox"/> 保證金帳戶 Margin Account	*網上電子交易 Electronic Trading YES <input type="checkbox"/> NO <input type="checkbox"/>	
客戶資料表 PART A. CLIENT INFORMATION STATEMENT			
※ 請用正楷填寫,在適用處剔☑,並於不適用處填上「不適用」 Please complete in Block Letter, tick ☑ where is appropriate and insert "N. A." if not applicable.			
1. 戶口持有人個人資料 Personal Information for First applicant			
姓名: Full Name:	<input type="checkbox"/> 先生 Mr. <input type="checkbox"/> 太太 Mrs. <input type="checkbox"/> 小姐 Miss	(中文 Chinese)	(英文 English)
出生日期(日/月/年) Date of Birth (DD / MM / YYYY)		出生地 Place of birth	
身份證 ID Card		護照號碼 Passport No	
國籍 Nationality		電郵地址 E-mail Address	
住宅電話號碼 Home Phone No		手提電話號碼 Mobile Phone No	
住宅地址 Residential Address			
教育程度 Education Level	<input type="checkbox"/> 預科/專上學院 Post-Secondary <input type="checkbox"/> 其他 Other: _____	<input type="checkbox"/> 中學 Secondary <input type="checkbox"/> 大學或以上 University or Above	
受雇資料 Employment Information	<input type="checkbox"/> 全職 Full-time Employed <input type="checkbox"/> 自雇 Self-employed <input type="checkbox"/> 全職學生 Full-time Student <input type="checkbox"/> 退休 Retired <input type="checkbox"/> 家庭主婦 Housewife <input type="checkbox"/> 待業 Unemployed <input type="checkbox"/> 其他 _____		
雇主名稱 Employer Name		業務性質 Business Nature	
職銜 Position		任職年期 Year(s) Employed	
公司電話 Office Phone		傳真號碼 Fax No	
公司地址 Office Address			
通訊地址 Correspondence Address	<input type="checkbox"/> 住宅地址 Residential Address <input type="checkbox"/> 公司地址 Office Address		
2. 財務資料簡要 Financial Summary			
資金來源 Source of wealth	<input type="checkbox"/> 薪金/佣金 Salary <input type="checkbox"/> 資產繼承 Inheritance	<input type="checkbox"/> 業務收入 Business Income <input type="checkbox"/> 投資收益 Return on Investment	<input type="checkbox"/> 個人儲蓄 Personal Saving <input type="checkbox"/> 其他 Others: _____
個人每年收入 Annual Income	<input type="checkbox"/> 低於 Below HK\$300,000 <input type="checkbox"/> 高於 Above HK\$1,200,000	<input type="checkbox"/> HK\$300,001 – HK\$800,000	<input type="checkbox"/> HK\$800,001 – HK\$1,200,000

資產類別 Asset Type	<input type="checkbox"/> 房地產 Property <input type="checkbox"/> 上市證券 Listed Securities <input type="checkbox"/> 存款 Deposits <input type="checkbox"/> 債券 Bonds <input type="checkbox"/> 基金 Fund <input type="checkbox"/> 其他 Others :
估計資產淨值 Estimated Total Net Asset worth	<input type="checkbox"/> 低於 Below HK\$1,000,000 <input type="checkbox"/> HK\$ 1,000,001 – HK\$5,000,000 <input type="checkbox"/> HK\$ 5,000,001 – HK\$ 8,000,000 <input type="checkbox"/> 高過 Above HK\$8,000,000
住宅類別 Nature of Occupancy	<input type="checkbox"/> 宿舍 Quarters <input type="checkbox"/> 與父母同住 Living With Parents <input type="checkbox"/> 租用 Rented <input type="checkbox"/> 按揭物業 Mortgage Property <input type="checkbox"/> 自置(無按揭) Owned (No mortgage) <input type="checkbox"/> 其他 Others :
3. 投資目的及經驗 Investment Objective and Experience	
投資經驗年期 Years of Investment Experience	<input type="checkbox"/> 沒有 Nil <input type="checkbox"/> 少於一年 (Less than 1 year) <input type="checkbox"/> 一年至三年 (1–3 years) <input type="checkbox"/> 三年至七年 (3–7 years) <input type="checkbox"/> 七年至十年 (7–10 years) <input type="checkbox"/> 超過十年 (More than 10 years)
過往每年平均投資金額 Yearly Average Investment Amount in the Past	<input type="checkbox"/> 低於 Below HK\$ 1,000,000 <input type="checkbox"/> HK\$ 1,000,001 – HK\$ 5,000,000 <input type="checkbox"/> HK\$ 5,000,001 – HK\$ 8,000,000 <input type="checkbox"/> 高過 Above HK\$8,000,000
投資目的 Investment Goals	<input type="checkbox"/> 保本 Capital Preservation <input type="checkbox"/> 資本增值 Capital Growth <input type="checkbox"/> 股息回報 Dividend Yield <input type="checkbox"/> 對沖 Hedging <input type="checkbox"/> 套戥 Arbitrage <input type="checkbox"/> 投機 Speculation
承受風險 Risk Tolerance*	<input type="checkbox"/> 低風險 Low <input type="checkbox"/> 中等風險 Medium <input type="checkbox"/> 高風險 High <*證券保證金帳戶屬於“中等風險”及/或“高風險”類別 Securities Margin Account belongs to Medium and/or High risk categories>
補回差額的能力 Capacity to Top-Up	本人確認擁有足夠能力作定期注資並滿足提供額外抵押品的要求(如適用)。 I confirm I have the capacity to make regular contributions and meet extra collateral requirements, where appropriate <input type="checkbox"/> 有 Yes <input type="checkbox"/> 沒有 No
曾經投資過的產品 Types of product(s) you have previously invested	<input type="checkbox"/> 股票 Stocks <input type="checkbox"/> 期貨/期權 Futures/Options <input type="checkbox"/> 外匯/貴金屬 Forex/ Billion <input type="checkbox"/> 衍生工具 Derivatives <input type="checkbox"/> 債券/存款證 Bonds/CD <input type="checkbox"/> 單位信託基金/基金 Unit Trusts/Fund <input type="checkbox"/> 其他 Others : _____
4. 對衍生產品的認識 Knowledge of Derivatives	
<input type="checkbox"/> 有 Yes <input type="checkbox"/> 沒有 No	曾接受有關介紹衍生產品之性質及風險培訓或課程(如由學術機構或金融機構所提供之網上課程或教室課程) By undergoing training or attending courses that provide general knowledge of the nature and risk of derivatives (e.g. relevant online or classroom course offered by academic institutions or financial institutions).
<input type="checkbox"/> 有 Yes <input type="checkbox"/> 沒有 No	過去三年內已進行了五次或以上有關衍生產品之交易(如:衍生權證、牛熊證、股票/指數期貨及期權、商品結構性產品及交易所基金等、無論是否於交易所進行交易) Executed five or more transactions in derivative products (e.g. Derivatives Warrants, Callable Bull/Bear Contracts, Stock/Index Futures and Options, Structural Products of Commodities, and ETF, whether traded on exchange or not) within the past three years).
<input type="checkbox"/> 有 Yes <input type="checkbox"/> 沒有 No	現時或過去曾從事衍生產品有關的工作經驗 Current or previous work experience related to derivative products.
甲一部. 客戶資料披露 PART A1. DISCLOSURE OF INFORMATION	
1. 關連帳戶 Related Account(s)	
客戶本身或與其「有關的帳戶」有否於利得證券(香港)有限公司或利得集團(下稱“利得”)操作/持有其他帳戶? Is the client or all “related accounts” operate/own other accounts opened with LEAD SECURITIES (HK) LIMITED or LEAD GROUP (stated as “LS(HK)L”)? <“有關的帳戶”一詞包括有關客戶的未成年子女的帳戶及有關客戶擁有實益權益的帳戶 “related accounts” includes accounts of their minor children and accounts in which the client hold beneficial interests>	

<input type="checkbox"/>	沒有 No
<input type="checkbox"/>	有 Yes, 請詳述 Please specify: 帳戶名稱 Account Name: _____ 帳戶號碼 Account No: _____ 關係 Relationship: _____

2. 相關保證金融資帳戶 Related Margin Financing Account(s) (只適用於保證金帳戶 For Margin Account Only)

(i) 客戶的配偶是否持有利得任何相關保證金融資帳戶?

Does spouse of the Client maintain any related margin financing account with LS(HK)L?

不是 No 是 Yes, 請詳述 Please specify: 帳戶名稱 Account Name: _____; 帳戶號碼 Account No: _____

(ii) 客戶是否有以客戶旗下之公司於“利得”開立保證金融資帳戶? Does the client have a margin financing account opened with LS(HK)L by one of the companies of the Client?

不是 No 是 Yes, 請詳述 Please specify:

帳戶名稱 Account Name: _____; 帳戶號碼 Account No: _____

(ii) 客戶及/或其配偶是否單獨或共同控制利得之其他保證金融資帳戶35%或以上之表決權? Does the client alone or jointly with his/her spouse control 35% or more of the voting rights of another financing margin account with LS(HK)L.

不是 No 是 Yes, 請詳述 Please specify:

帳戶名稱 Account Name: _____; 帳戶號碼 Account No: _____

3. 帳戶最終受益人 The ultimate beneficial owner(s) of the Account

客戶本人 The Client

其他 Others, 請詳述 Please specify:

姓名 Name: _____; 關係 Relationship: _____;

身份證/護照號碼 I.D. Card/Passport No: _____;

住宅地址 Home Address: _____

4. 美國人身份 Identity of U.S. Person

(如: 美國公民/美國居民/美國護照/綠卡持有人 i.e. U.S. Citizen/U.S. Resident/U.S. Passport/Green Card Holder)

不是 No 是 Yes, 稅務身份號碼 Tax Identification Number (TIN): _____

5. 身份聲明 Identity Declaration

(i) 客戶本人、此帳戶最終受益人或獲授權操作此帳戶人士(“有關人士”)是否香港證監會的持牌或註冊人士或任何持牌或註冊人士之董事或雇員?

Is/Are the client(s), the ultimate beneficial owner(s) of the Account or the authorized person(s) ultimately responsible for giving instructions for the Account (“Relevant Person(s)”), a licensed or registered person, or a director or an employee of any Licensed or Registered Person of Securities and Futures Commission in Hong Kong?

不是 No 是 Yes, 請詳述 Please specify:

“有關人士”姓名 Name of the “Relevant Person”: _____;

“有關人士”中央編號 CE No of the “Relevant Person”: _____;

持牌/註冊的中介人名稱 Name of the licensed/ registered intermediary: _____;

(請提供雇主之同意書 Please provide the employees approval letter 提供 Provide 不提供 Not provide)

(ii) 客戶本人、此帳戶最終受益人或獲授權操作此帳戶人士(“有關人士”)是否為上市公司之高級職員、董事或大股東?

Is/Are the client(s), the ultimate beneficial owner(s) of the Account or the authorized person(s) ultimately responsible for giving instructions in relation to transactions to be conducted through the Account (“Relevant Person(s)”), a senior officer or director or in control of any company whose shares are traded on any exchange or market?

不是 No 是 Yes, 請詳述 Please specify:

“有關人士”姓名 Name of the “Relevant Person”: _____ 職位 Position: _____;

公司名稱及股份編號 Company Name and stock code: _____ 持股份額(Share Holding%): _____

(iii) 客戶本人、此帳戶最終受益人或獲授權操作此帳戶人士("有關人士")是否為"利得"之僱員/經紀或其他任何董事/僱員的親屬?
 Is/Are the client(s), the ultimate beneficial owner(s) of the Account or the authorized person(s) ultimately responsible for giving instructions in relation to transactions to be conducted through the Account ("Relevant Person(s)"), an employee, a relative or an associate of any employee/agent of "LS(HK)L"? 不是 No 是 Yes,請詳述 Please specify:
 "有關人士" 姓名 Name of the "Relevant Person": _____; 關係 Relationship: _____
 僱員/經紀姓名 Name of the employee/agent: _____;

(iv) 客戶本人、此帳戶最終受益人或獲授權操作此帳戶人士("有關人士")是否為任何國家/地方之政界人士，例如：客戶本人或其家人為政府高級官員、政黨領袖之類?
 Is/Are the client(s), the ultimate beneficial owner(s) of the Account or the authorized person ultimately responsible for giving instructions in relation to transactions to be conducted through the Account ("Relevant Person(s)"), the holder of senior public position of any countries/districts e.g. senior government official, political party leaders, etc. or their family members?
 不是 No 是 Yes,請詳述 Please specify:
 公職/國家機構 Position/Authority: _____; 政界人士名稱 Name of PEP: _____ 關係 Relationship: _____

乙部. 交易安排 PART B. TRADING ARRANGEMENT

1. 買賣單據/結單遞送方法 Contract Notes/Statements to be delivered to

所有買賣單據/結單/信件將遞送至(請選擇其中一項): All contract notes/statements/correspondence to be sent to (Please select one):

- 郵寄至通訊位址每月為港幣50元正 By Post to Correspondence Address with fee of \$50 per Monthly
 電郵 By Email (如與上述電郵地址不同，請明示 If different from the above email, please specify _____)

2. 買賣單據/結單語言選擇 Language selection for Contract Notes / Statements

- 繁體中文 Traditional Chinese 簡體中文 Simplified Chinese 英文 English

3. 交易指示 Instruction Types

最終為此帳戶發出交易指示的人士 Ultimately responsible for giving instructions in relation to transactions to be conducted through the Account

- 客戶本人 The Client
 授權第三者操作 <必須填寫《第三者操作帳戶授權書》及得到批核方能生效> Thirty party authorization <Must complete the "Third party authorization letter" and obtain approval before taking effect>

5. 銀行戶口資料 Bank Account Information

款項將根據客戶的提款指示轉入以下銀行帳戶 Funds will be transferred to the following bank accounts pursuant to your fund withdrawal instruction.

	港幣戶口 HK Dollar A/C	其他貨幣戶口 Other Currency A/C :
銀行名稱 Bank Name		
帳戶號碼 Account No.		
帳戶名稱 Account Name		

丙部. 常設授權 (客戶款項) PART C. STANDING AUTHORITY (CLIENT MONEY)

致 To: 利得證券(香港)有限公司 LEAD SECURITIES (HK) LIMITED

本授權涵蓋爾等在香港代表本人開立的一個或多個獨立帳戶中，持有或收到的款項(包括因持有並非屬於爾等的款項而產生之任何利息)(下稱「款項」)。除非另有定義，本授權內使用的術語應與不時修訂的《證券及期貨條例》及《證券及期貨(客戶款項)規則》中的定義相同。This letter of authority covers money held or received by you in Hong Kong (including any interest derived from the holding of the money which does not belong to you) in one or more segregated account(s) on our behalf ("Monies"). Unless otherwise defined, all the terms used in this authorization letter shall have the same meanings as the Securities and Futures Ordinance and the Securities and Futures (Client Money) Rules as amended from time to time.

本授權書授權貴爾等 This Authority authorizes you to:

1. 組合或合併爾等，即利得證券(香港)有限公司(下稱「利得」)所維持的任何或全部獨立帳戶，此等組合或合併活動可以個別地或與其他帳戶聯合進行，爾等可將該等獨立帳戶內任何數額之款項作出轉移，以解除本人對利得內任何成員的義務或法律責任，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

Combine or consolidate any or all segregated accounts, of any nature whatsoever and either individually or jointly with others, maintained by you, i.e. LEAD SECURITIES (HK) LIMITED any of its subsidiaries from time to time ("LS(HK)L") and you may transfer any sum of Monies to and between such segregated account(s) to satisfy my/our obligations or liabilities to any member of the ("LS(HK)L"), whether such obligations and liabilities are actual or contingent, primary or collateral, secured or unsecured, or joint or several; and

2. 從“利得”任何成員于任何時候維持的任何獨立帳戶之間來回調動任何數額之款項；及

Transfer any sum of Monies interchangeably between any of the segregated accounts maintained at any time by any member of the "LS(HK)L"; and

3. 將“利得”任何數額之款項轉往“利得”于其代理經紀及/或清算代理開立的任何證券交易/清算/交收帳戶以作本人買賣證券之用。

Transfer any sum of Monies to any securities trading/ clearing/settlement account(s) maintained by "LS(HK)L" with its agent broker(s) and/or clearing agent(s) for purpose of dealing in securities transactions for and on behalf of us.

本人確認並同意，爾等可不通知本人而採取上述行動。

I acknowledge and agree that the Company may do any of these things set out above without giving me prior notice.

自本常設授權書於開戶生效日期起計算，有效期為12個月。

This Authority is valid for a period of 12 months from the date hereof.

本人可以向爾等客戶服務部位于此開戶表格所列明之位址發出書面通知，撤回本授權書。該等通知之生效日期為爾等真正收到該等通知後之14日內。

This authority may be revoked by giving you written notice addressed to the Customer Service Department at your address specified in this Account Opening Form. Such notice shall take effect upon the expiry of two weeks from the date of your actual receipt of such notice.

本人明白爾等若在本授權書的有效期屆滿前14日，向本人發出書面通知，提醒本人本授權書即將屆滿，而本人沒有在此授權書屆滿前反對此授權續期，本授權書應當作在不需要本人以書面同意下被視為已續期。爾等須於授權屆滿日起計的一星期內，以書面形式通知本人本授權經已被自動續期。

I understand that this Authority shall be deemed to be renewed on a continuing basis without ours written consent if you issue us a written reminder at least fourteen (14) days prior to the expiry date of this Authority, and I do not object to such deemed renewal before such expiry date. You shall give a written confirmation of the renewal of the standing authority to me within one week after the date of expiry.

本人謹此同意賠償貴公司及使貴公司因根據本常設授權進行任何交易而可能蒙受及/或招致的一切損失、賠償、利息、費用、開支、法律行動、付款要求、申索或訴訟獲得賠償。

I hereby agree to indemnify the Company and the Company may suffer and/or all losses incurred due to any transaction under this standing authority, compensation, interest, costs, expensed, actions, demands, claims or litigation to obtain compensation.

丁部. 常設授權 (客戶證券) PART D. STANDING AUTHORITY (CLIENT SECURITIES)

<只適用於證券保證金客戶 For Securities Margin Client Only>

致 To: 利得證券(香港)有限公司 LEAD SECURITIES (HK) LIMITED

根據《證券及期貨(客戶證券)規則》第6(1)條所設立的常設授權: Standing Authority under section 6(1) of Securities and Futures (Client Securities) Rules:

本常設授權書是有關處置本人證券或證券抵押品，詳列如下：

This standing authority is in respect of the treatment of my securities or securities collateral as set out below.

除非另有說明，本常設授權之名詞與《證券及期貨條例》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。

Unless otherwise defined, the terms used in this standing authority shall have the same meanings as in the Securities and Futures Ordinance and the Securities and Futures (Client Securities) Rules as amended from time to time. 本常設授權乃授權貴爾等： This standing authority authorizes you to:

1. 依據證券借貸協議運用任何本人的證券或證券抵押品;

apply any of my securities or securities collateral pursuant to A securities borrowing and lending agreement;

2. 將任何本人的證券抵押品存放於認可財務機構，作為該機構向貴公司提供財務通融之抵押品；
deposit any of my securities collateral with an authorized financial institution as collateral for financial accommodation provided to you;
3. 將任何本人的證券抵押品存放於香港中央結算有限公司(「中央結算」)，作為解除貴公司在清算上的義務和清償貴公司在清算上的法律責任的抵押品。本人明白中央結算公司因應貴公司的責任和義務而對本人的證券設定第一固定押記；
deposit any of my securities collateral with Hong Kong Securities Clearing Company Limited ("HKSCC") as collateral for the discharge and satisfaction of your settlement obligations and liabilities. I understand that HKSCC will have a first fixed charge over our securities to the extent of your settlement obligations and liabilities;
4. 將任何本人的證券抵押品存放於任何其他認可結算所或任何其他獲發牌或獲註冊進行證券交易的仲介人，作為解除貴公司在清算上的責任和義務和清償貴公司在清算上的法律責任的抵押品；及
deposit any of my securities collateral with any other recognized clearing house, or another intermediary licensed or registered for dealing in securities, as collateral for the discharge and satisfaction of your settlement obligations and liabilities; and
5. 如貴公司在進行證券交易及貴公司獲發牌或獲註冊進行的任何其他受規管活動的過程中向本人/吾等提供財務通融，即可按照上述第(1)、第(2)、第(3)及/或第(4)段所述運用或存放任何本人的證券抵押品。
apply or deposit any of my securities collateral in accordance with paragraphs (1), (2), (3) and/or (4) above if you provide financial accommodation to me in the course of dealing in securities and also provide financial accommodation to me in the course of any other regulated activity for which you are licensed or registered.
6. 貴公司可不向本人發出事前通知而採取上述行動。本人確認本常設授權不影響貴公司為解除由本人或代本人對貴公司、貴公司之實體或第三者所負的法律責任，而處置或促使貴公司的聯繫實體處置本人之證券或證券抵押品的權利。
You may do any of these things without giving me prior notice. I acknowledge that this standing authority shall not affect your right to dispose or initiate a disposal by your associated entity of I securities or securities collateral in settlement of any liability owed by or on behalf of me to you, the associated entity or a third party.
7. 本人明白本人的證券可能受制于第三者之權利，貴公司須全數抵償該等權利後，方可將本人/吾等的證券退回本人/吾等。
I understand that a third party may have rights to our securities, which you must satisfy before our securities can be returned to us.
8. 此賦予貴公司之授權乃鑒於貴公司同意繼續維持本人/吾等之證券保證金帳戶。
This standing authority is given to you in consideration of your agreeing to continue to maintain the securities margin account(s) for us.
9. 自本常設授權書於開戶生效日期起計算，有效期為12個月。
This standing authority is valid for a period of 12 months from the date hereof.
10. 本人可以向爾等客戶服務部位于此開戶表格所列明之位址發出書面通知，撤回本常設授權。該等通知之生效日期為爾等真正收通知後之14日起計。
This standing authority may be revoked by giving you written notice addressed to the Customer Service Department at your address specified in this Account Opening Form. Such notice shall take effect upon the expiry of two weeks from the date of your actual receipt of such notice.
11. 本人明白爾等若在本常設授權的有效期限屆滿前14日之前，向本人發出書面通知，提醒本人本常設授權即將屆滿，而本人沒有在授權屆滿前反對此常設授權續期，本常設授權應當作在不需本人之書面同意下被視為已續期。爾等須於授權屆滿日起的一星期內，以書面形式通知本人本常設授權經已被續期。
I understand that this standing authority shall be deemed to be renewed on a continuing basis without our written consent if you issue me a written reminder at least fourteen (14) days prior to the expiry date of this standing authority, and I do not object to such deemed renewal before such expiry date. You shall give a written confirmation of the renewal of the standing authority to me within one week after the date of expiry.

戊部. 使用個人資料作直接促銷 PART E. CONSENT TO USE OF PERSONAL DATA FOR DIRECT MARKETING PURPOSE

本人已仔細閱讀、完全理解及同意接受遵守載於協議書第四節有關個人資料(私隱)條例的通知，本人明白本人的個人資料可能會提供“利得”作直接促銷之用。 <如不同意，請勿在以下空格加上☑號>

I have carefully read, fully understand and agreed to accept and be bound by the CIRCULAR RELATING TO PERSONAL DATA (PRIVACY) ORDINANCE

as set out in Section IV to the Client Agreement and understand that my personal data may be provided to “LS(HK)L” for the use in direct marketing.

<Please don't tick the following box if you do not agree>

本人同意使用本人的個人資料於“利得”提供金融服務有關的直接促銷之用。

I hereby consent to the use of my personal information for direct marketing directly related to the provision of financial services by “LS(HK)L” to me.

本人同意使用本人的個人資料予“利得”以外的公司提供金融服務有關的直接促銷之用。

I hereby consent to the use of my/our personal information for direct marketing directly related to the provision of financial services by or to entities outside of “LS(HK)L”.

本人/吾等可以隨時透過書面方式，向“利得”更改指示。

I can change my instructions at any time by providing a written notice to “LS(HK)L”

己部. 客戶確認及簽署 PART F. CLIENT'S ACKNOWLEDGEMENT AND SIGNATURE

本人聲明、確認及同意 I declare, confirm and agree that:

- | | |
|----|--|
| 1. | <p>本人確認本開戶申請表所載的資料和陳述乃真實、完整及正確，除非“利得”接獲吾等發出關於任何變更的書面通知，否則“利得”有權就一切目的，全面信賴該等資料及陳述。“利得”獲授權隨時聯絡任何人士，包括銀行或任何信用調查機構，以查核此開戶表格所提供之資料。</p> <p>I confirm that the information and representations contained in this Account Opening Form are true, complete and correct, and that “LS(HK)L” is entitled to rely fully on such information and representations for all purposes, unless and until “LS(HK)L” receives notice in writing from us of any change. “LS(HK)L” is authorized at any time to contact anyone, including banks, or any credit agency, for purposes of verifying the information provided in this Account Opening Form.</p> |
| 2. | <p>本人確認已閱讀及明白有關“利得”之證券交易帳戶協議書(“協議書”)及此開戶表格，而吾等接納並同意受該等條款約束。“利得”有權不時更改協議書之條款，並向本人發出通知，除非“利得”收到吾等取消戶口通知，否則表示本人接納該更改條款。本人亦知道在“利得”網頁內會刊載了有關協議書最新版本，以供吾等閱覽或下載。</p> <p>I confirm that I have read and understood the Terms and Conditions for Securities Trading (the “Agreement”) of “LS(HK)L” and this Account Opening Form, and I hereby accept and agree to be bound by the terms and conditions. “LS(HK)L” may amend the terms and conditions of the Agreement(s) from time to time by giving me notice of such amendment. Unless “LS(HK)L” has received our request to close the account, if I continue to use the account I shall be deemed to have accepted such changes. I also know that we are able to read or download the up-to-date version of the Agreement from the “LS(HK)L” website.</p> |
| 3. | <p>本人知悉及確認已獲得提供按照本人所選擇的語言(中文或英文)之風險披露聲明，本人已獲邀閱讀此風險披露聲明，並提出問題及徵求獨立的意見(如本人有此意願)。</p> <p>I hereby acknowledge and confirm that I have fully read the risk disclosure statements in the language of my choice (Chinese or English). I was invited to read the risk disclosure statements, and ask questions and take independent advice if I wish.</p> |
| 4. | <p>本人確認上述有關“衍生產品的認識”之資料完全真實及完整，並明白“利得”將根據上述資料界定本人是否擁有對衍生產品之認識，以符合證券及期貨事務監察委員會持牌人或註冊人操守準則之有關要求。</p> <p>I hereby confirm that the above information provided in relation to “Knowledge of Derivatives” is true and complete. I also understand that “LS(HK)L” will rely on the above information provided to assess whether I have acquired knowledge of derivative products in order to comply with relevant requirements of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission.</p> |
| 5. | <p>“利得”獲授權(但無義務)接受本人或授權人不論是親身、以書面、電話、傳真、互聯網或任何其它電信方式或電子通訊方式按照客戶協定中的規定不時作出的指示並根據該等指示行事。倘若本人希望撤回根據客戶協定中作出的授權，本人應以書面方式通知“利得”，在收到該項書面變更通知之前，“利得”可依賴任何以傳真、電話、口頭或電子方式作出的指示。另鑒於“利得”同意通過電話、傳真或其它電子方式接受本人的指示，作為對價，對於“利得”及其董事、高級職員、雇員及代理人按照協議書項下的任何指示行事或沒有行事而招致或遭受的任何損失或責任，本人同意彌償他們，但由於“利得”的疏忽或違約而導致的損失或責任則除外。</p> |

	<p>“LS(HK)L” shall be authorized (but not obliged) to accept and act in accordance with any Instructions given by me or the Authorized Person(s) either in person, in writing, by telephone, fax, the internet or any other form of telecommunications or electronic mode of communication made from time to time in accordance with the Client Agreement. In the event that I wish to withdraw the authorization under the Agreement, I shall notify “LS(HK)L” in writing and until receipt of such notice of change in writing, “LS(HK)L” may rely on any fax, telephone, oral and electronic Instructions given. And in consideration of “LS(HK)L” agreeing to accept Instructions from me by telephone, fax transmission or other electronic means, I agree to indemnify “LS(HK)L” and its directors, officers, employees and agents against any loss or liability that any of them may incur or suffer as a result of any of them acting or failing to act upon any Instruction given under the Agreement, save where due to the negligence or default of “LS(HK)L”.</p>
6.	<p>本人明白本人遞交此開戶文件及“利得”接納此開戶檔並非表示“利得”同意開立帳戶予本人/吾等，而“利得”保留無條件拒絕本人開戶申請之權力；本人知悉“利得”或會要求本人就將買入之證券或期貨及/或期權先存入款項。</p> <p>I understand that my submission of this document and the acceptance of such document by “LS(HK)L” in no way implied approval for opening of the account for me and that “LS(HK)L” reserves the unconditional right to reject my application. I further understand that I may be required to place a deposit on the value of the securities and/or futures and/or options to be purchased requested by “LS(HK)L”.</p>
7.	<p>本人已參閱“利得”給予客戶有關《個人資料（私隱）條例》的通知（載於協議書內），並明白且同意其條款。</p> <p>I have read the “LS(HK)L” Data Privacy Policy circular relating to Personal Data (Privacy) Ordinance (as contained in the Agreement), understand and agree to its term stated therein.</p>
8.	<p>本人就常設授權書(客戶款項)的內容已獲得解釋，並且本人明白及同意常設授權書(客戶款項)的內容。本人/吾等[若是證券保證金客戶]就常設授權書(客戶證券)的內容已獲得解釋，[如適用]本人/吾等明白及同意常設授權書(客戶證券)的內容。</p> <p>The contents of Standing Authority (Client Money) have been explained to me and I understand and agree with the contents of Standing Instruction (Client Money). The contents of Standing Authority (Client Securities) have been explained to me [only if I am Securities Margin Client] and [if applicable] I understand and agree with the contents of Standing Authority (Client Securities).</p>
9.	<p>本人知悉及確認本人必須(i)遵守因本人簽訂協定書及根據該協議書進行的任何交易而可能產生的任何稅務後果；及(ii)遵從不時有效的所有適用法律和規例，包括根據本人居住的或居籍所在地的或身為其公民的司法管轄區的法律之下與購買、持有及沽售證券或有關合約的資產相關的任何法律規定及外匯限制或管制規定。</p> <p>I acknowledge and confirm that I must (i) observe any possible tax consequences arising from my entering into the Agreement and any transactions entered pursuant thereto; and (ii) comply with all applicable laws and regulations in force from time to time including any legal requirements and foreign exchange restrictions or exchange control requirements which are relevant to the purchase, holding or disposal of Securities or assets underlying the contract under the laws of the jurisdiction in which I reside, am domiciled or am a citizen.</p>
10.	<p>本人知悉本開戶檔及協議書擬定中英文版本，兩種語言版本均具有同等效力，但應以英文版本解譯並視為確實及具最終效力</p> <p>I acknowledge that this document and the Agreement are drawing in English and Chinese Languages, all two versions being equally authenticated. However, the English Language version shall deem to be conclusive and prevail.</p>

此簽署將被視作簽署式樣 This Signature will be treated as specimen signature

申請人簽署 First Joint Account Client Signature :

客戶姓名 Client Name :



茲見證本人/吾等簽署本開戶檔於：_____年_____月_____日。

IN WITNESS WHEREOF I/We have signed this account opening document day of _____

見證人簽署 Witness Signature	
見證人簽署 Signed By :	姓名 (正楷) : Name (Block Letter) :
見證人之中央編號(如適用) CE No. of the certifier (if applicable):	身份證/護照號碼 ID / Passport No:
日期 Date :	地址 Address:

持牌代表聲明 Declaration By Licensed Representative

I, licensed representative of Lead Securities Limited, hereby declare and confirm that I have fully explained the contents of this agreement and the risks and consequences of consenting to _____ (name of Client) at _____ (place where the explanation took place) / through a recording-telephone in a language (English or Chinese) which the client fully understands and have invited the client to ask questions and take independent advice (if the Client wishes).

Based on the information provided by the Client, the risk in association with money laundering and terrorist financing activity is *HIGH / NEUTRAL / LOW.

本人為利得證券(香港)有限公司的持牌代表，謹此聲明及確認本人已於 _____ (進行解釋的地址) / 透過具有錄音功能的電話通話，以客戶完全明白的語言(中文或英文) 向 _____ (客戶姓名) 清楚解釋本協議書及相關的風險披露聲明的內容，並已邀請客戶小心及詳細閱讀本協議書及相關的風險披露聲明，提出問題及徵求獨立意見 (如客戶有此意願)。

基於客戶提供的資料，客戶與洗黑錢及資助恐怖分子活動的風險評定為* 高 / 中 / 低 性。

Signed by licensed representative

CE Number

持牌代表簽署 : _____ 中央編號 : _____

Name of licensed representative

Date

持牌代表姓名 : _____ 日期 : _____

開戶審批 Approval of Account Opening

吾等確認及同意上述內容 We acknowledge and agree to the above.

授權簽名及公司印章 Authorized Signature(s) with Company Chop	姓名(正楷) Name (Block Letter) :
_____	_____
正式獲授權代表利得證券(香港)有限公司人士 Duly authorized for and on behalf of LEAD SECURITIES (HK) LIMITED	職銜 Job Title _____
	日期 Date : _____

本公司專用 For Office Use Only

傭金 Brokerage :	交易限額 Trading Limit:	已獲銀行及信貸參考 Bank and Credit References Obtained
資料登錄 Inputted By :	資料核對 Checked By :	資料審核 Audited By :
姓名 Name :	姓名 Name :	姓名 Name :
日期 Date :	日期 Date :	日期 Date :