

**ACCOUNT APPLICATION**  
**(Corporate Account)**  
開戶申請表  
(公司帳戶)

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# ACCOUNT APPLICATION (Corporate Account)

## 開戶申請表 (公司帳戶)

Note: This is an important document. You (the "Applicant") should carefully read and fully understand the contents of this Account Application and depending on the account(s) and the services (if applicable) chosen by you immediately below, the attached Client Agreement(s) and Schedules and Appendix(ces) (if any) and Supplement(s) (if any) thereto (collectively "Client Agreement") in respect of SHKIS, SHKCOM, SHKB, SHKFX and/or SHKOS (as defined below) and where appropriate, the Terms and Conditions for OTC Swap Transactions (corporate) ("OTC Swap T&Cs (corporate)"), the OTC Swap Account Annex and the Application for Electronic Services (as defined in Clause (14) of Section G), (if any), as well as other related documents as specified by the company(ies) of EBSHK Group. The foregoing documents are together hereinafter referred to as the "Documents". In this Account Application, "EBSHK Group" means the group of companies comprising SHKIS, SHKCOM, SHKB, SHKFX and SHKOS together with Everbright Sun Hung Kai Company Limited ("EBSHKCL") and EBSHKCL's subsidiaries and associated companies and "the company(ies) of EBSHK Group" means the companies to which this Account Application is submitted in relation to the account(s) and the services (if applicable) chosen by the Applicant immediately below. Before signing the Documents, the Applicant should first seek independent legal and other professional advice as necessary. In case of discrepancies between the English and Chinese versions of this Account Application, the English version shall prevail.

註：此乃重要文件。閣下（即申請人）應仔細閱讀並充份理解本開戶申請表及依據閣下以下所選擇之一個或多個帳戶及服務（若適用）而隨本文件附上有關新鴻基投資服務、新鴻基期貨、新鴻基金業、新鴻基外匯及/或新鴻基科網（釋義見下）之客戶協議及其/其等附件及附錄（若有）及補充（若有）（統稱「客戶協議」）及當適用，場外掉期交易之條款及細則（公司）（「場外掉期條款及細則（公司）」）、「場外掉期帳戶附件」及電子服務申請書（釋義按G項第(14)條）（若有）以及光大新鴻基集團的公司（釋義見下）不時指定的其他相關文件。上述文件以下統稱為「文件」。於本開戶申請表，「光大新鴻基集團」指包括新鴻基投資服務、新鴻基期貨、新鴻基金業、新鴻基外匯及新鴻基科網，連同光大新鴻基有限公司及其附屬公司及相聯公司等集團成員公司；同時，「光大新鴻基集團的公司」指相對於申請人以下所選擇之一個或多個帳戶及服務（若適用）而將本申請表向其/其等呈交的一間或多間光大新鴻基集團的公司。申請人在簽署文件前，必須徵求獨立法律及（如需要）其他專業意見。倘若本開戶申請表的中英文本有任何歧異，概以英文本為準。

To companies of EBSHK Group: Please open and maintain the following type(s) of non-discretionary corporate account(s) ("Account"). (Please see Clause (1) of Section G of this Account Application):

致光大新鴻基集團的公司：請開設及維持以下非全權代客買賣的公司帳戶（「帳戶」）（請參閱本開戶申請表G項第(1)條）：

(Please check the appropriate box(es) 請選擇合適者)

COMPANY 公司	TYPE OF ACCOUNT 帳戶種類	ELECTRONIC & OTHER SERVICES 電子及其他服務
<input type="checkbox"/> Sun Hung Kai Investment Services Limited ("SHKIS") 新鴻基投資服務有限公司（「新鴻基投資服務」） (CE Number 中央編號：AAC153)	<input type="checkbox"/> Cash Securities Trading Account(s) 現金證券交易帳戶	<input type="checkbox"/> Online U.S. securities trading services 網上美股買賣服務
	<input type="checkbox"/> Margin Securities Trading Account(s) 孖展證券交易帳戶	<input type="checkbox"/> Online H.K. securities trading services 網上港股買賣服務
	<input type="checkbox"/> Stock Options Trading Account(s) 股票期權交易帳戶	<input type="checkbox"/> Online stock options trading services 網上股票期權買賣服務
	<input type="checkbox"/> Collective Investment Account(s) 集合投資帳戶	
<input type="checkbox"/> Sun Hung Kai Commodities Limited ("SHKCOM") 新鴻基期貨有限公司（「新鴻基期貨」） (CE Number 中央編號：AAF237)	<input type="checkbox"/> Commodities Trading Account(s) 期貨交易帳戶	<input type="checkbox"/> Online futures trading services 網上期貨買賣服務
	<input type="checkbox"/> OTC Swap Account(s)* 場外掉期帳戶*	
<input type="checkbox"/> Sun Hung Kai Bullion Company Limited ("SHKB") 新鴻基金業有限公司（「新鴻基金業」）	<input type="checkbox"/> Bullion Trading Account(s) 黃金交易帳戶	
<input type="checkbox"/> Sun Hung Kai Forex Limited ("SHKFX") 新鴻基外匯有限公司（「新鴻基外匯」） (CE Number 中央編號：ACI995)	<input type="checkbox"/> Leveraged Foreign Exchange Trading Account(s) 槓桿式外匯交易帳戶	<input type="checkbox"/> Online leveraged foreign exchange trading services – MT4 網上槓桿式外匯交易買賣服務 – MT4  <input type="checkbox"/> Online leveraged foreign exchange trading services – FX Trader Pro 網上槓桿式外匯交易買賣服務 – 「交易易」（專業版）
	<input type="checkbox"/> Global Payments Account(s) – Spot FX 環球付款帳戶 – 現貨外匯	
	<input type="checkbox"/> Global Payments Account(s) – Forward FX 環球付款帳戶 – 遠期外匯	
<input type="checkbox"/> SHK Online (Securities) Limited ("SHKOS") 新鴻基科網（證券）有限公司（「新鴻基科網」） (CE Number 中央編號：AAC483)	<input type="checkbox"/> Cash Securities Trading Account(s) 現金證券交易帳戶	Online H.K. securities trading services 網上港股買賣服務
	<input type="checkbox"/> Margin Securities Trading Account(s) 孖展證券交易帳戶	
	<input type="checkbox"/> Stock Options Trading Account(s) 股票期權交易帳戶	Online stock options trading services 網上股票期權買賣服務

\* Please complete the OTC Swap Account Annex.  
\* 請填寫「場外掉期帳戶附件」

**SECTION A THE APPLICANT'S PARTICULARS 申請人資料**

(1) Company Name 公司名稱： \_\_\_\_\_

Place of Incorporation 法團成立的地方： \_\_\_\_\_ Date of Incorporation 成立法團之日期： \_\_\_\_\_

Company Number 公司編號： \_\_\_\_\_ Nature of Business 業務性質： \_\_\_\_\_

Business Registration Certificate No. (if applicable) 商業登記證號碼（如適用）： \_\_\_\_\_

Registered Office Address in the Place of Incorporation 在註冊地的註冊辦事處地址：

Flat 室	Floor 樓數	Block 座數	House 樓/Building 大廈	Estate 屋邨/Garden 花園
No. and Name of Street 門牌號數及街道名稱			District 分區/Area 地區	Country 國家

Business Address 營業地址：

- Same as Registered Office Address in the Place of Incorporation 與在註冊地的註冊辦事處地址相同  
 Otherwise, please specify 若與在註冊地的註冊辦事處地址不同，請說明：  
 (Please provide address proof within the recent 3 months 請提供最近3個月的地址證明)

Flat 室	Floor 樓數	Block 座數	House 樓/Building 大廈	Estate 屋邨/Garden 花園
No. and Name of Street 門牌號數及街道名稱			District 分區/Area 地區	Country 國家

Nil 沒有

Correspondence Address 聯絡地址：

Flat 室	Floor 樓數	Block 座數	House 樓/Building 大廈	Estate 屋邨/Garden 花園
No. and Name of Street 門牌號數及街道名稱			District 分區/Area 地區	Country 國家

Telephone No. 電話號碼： \_\_\_\_\_ Fax No. 傳真號碼： \_\_\_\_\_

Email Address 電子郵件地址： \_\_\_\_\_

- Language used in and method of delivering contract notes, daily & monthly statements of account, confirmations and the like  
 (a)  Email\* 電郵\* or或  By post to correspondence address\*\* 郵寄往通訊地址\*\*  
 (b)  English 英文發出 or或  Chinese 中文發出

If you choose to receive electronic account statements, you can read your account statements through email. Accordingly, in the interest of environmental protection, you will not receive account statements by post.  
 如閣下選擇接收電子帳戶結單，您可經電郵閱覽帳戶結單。基於環境保護的考慮，閣下將不會收到以郵件寄發的帳戶結單。

\* Please see Clause (9)(ii) in Section G  
 請參閱 G 項第(9)(ii)條

If you choose to receive contract notes, daily & monthly statements of account, confirmations and the like by email, you agree to complete and sign such further form (e.g. an Application for Electronic Services (as defined in Clause (15) of Section G)) as may be subsequently required by the company(ies) of EBSHK Group from time to time.  
 若閣下選擇經電郵收取成交單據、帳戶日結單及月結單、確認函及同類文件，閣下同意填妥及簽署光大新鴻基集團的公司可能其後不時要求的表格（例如：電子服務申請書（釋義按G項第(15)條））。

\*\* (Note: The contract notes, daily & monthly statements of account, confirmations and the like will be sent to the email address(es) as designated in item (1) of Section A (or where applicable, the latest email address(es) you have notified the relevant company(ies) of EBSHK Group). If you would like to receive these documents by post, subject to applicable legal and regulatory requirements, the relevant company(ies) of EBSHK Group may charge a reasonable fee which may be amended by the relevant company(ies) of EBSHK Group at any time and from time to time without prior notice. For details of the said fee, please refer to the fee schedule accompanying the Client Agreement of the relevant company(ies) of EBSHK Group or on the website of the relevant company(ies) of EBSHK Group.)  
 (註：成交單據、帳戶日結單及月結單、確認函及同類文件將會送至A(1)項所指定的電郵地址（或當適用，閣下已通知相關光大新鴻基集團的公司之最新近的電郵地址）。然而，如閣下希望透過郵寄方式收到此等文件，在受制於適用法律及規管的要求下，相關光大新鴻基集團的公司可向閣下收取合理費用，相關光大新鴻基集團的公司可隨時及不時修訂該費用但不會作出事前通知。就上述費用的詳情，閣下可參閱附隨於相關光大新鴻基集團的公司客戶協議或於相關光大新鴻基集團的公司網站上的收費表。)

(2) Share Capital 股本

Authorized share capital 法定股本	_____ shares of 股，每股面值	_____ par value each 元之股份
Issued and paid up share capital 已發行及已繳足股本	_____ shares of 股，每股面值	_____ par value each 元之股份

(please specify currency 請指明貨幣)

(3) Financial Profile 財務概況

- (i) Annual Net Profit Before Tax (HK\$) (Note#): 每年稅前純利（以港元計）（註#）  
 ≤ \$250,000     \$250,001 - \$500,000     \$500,001 - \$1,000,000     \$1,000,001 - \$10,000,000  
 \$10,000,001 - \$50,000,000     \$50,000,001 - \$100,000,000     > \$100,000,000
- (ii) Net Assets (HK\$) (Note#): 資產淨值（以港元計）（註#）  
 ≤ \$50,000     \$50,001 - \$200,000     \$200,001 - \$500,000     \$500,001 - \$1,000,000  
 \$1,000,001 - \$5,000,000     \$5,000,001 - \$10,000,000     \$10,000,001 - \$40,000,000     \$40,000,001 - \$80,000,000  
 \$80,000,001 - \$100,000,000     > \$100,000,000
- (iii) Liquid Assets (HK\$) (Note#): 流動資產（以港元計）（註#）  
 ≤ \$50,000     \$50,001 - \$200,000     \$200,001 - \$500,000  
 \$500,001 - \$1,000,000     \$1,000,001 - \$5,000,000     \$5,000,001 - \$20,000,000  
 \$20,000,001 - \$50,000,000     \$50,000,001 - \$100,000,000     > \$100,000,000

Note#: Please choose one of the options only  
 註#: 請只選擇其中一項

(iv) Initial Source(s) of Wealth (e.g. Accumulated Return on Investments) 最初財富來源 (例如, 累積投資回報):

\_\_\_\_\_

(v) Ongoing Source(s) of Wealth 持續財富來源:

Same as Initial Source(s) of Wealth 與最初財富來源相同

Others (Please specify) 其他 (請說明): \_\_\_\_\_

(vi) Initial/Ongoing Source(s) of Funds 最初 / 持續資金來源:

(a) Means of fund transfer(s) 資金轉移的方式:

Cash 現金

Cheque/Bank draft 支票 / 銀行匯票

Local bank transfer 本港銀行轉賬

Overseas remittance 海外匯款

Others (Please specify) 其他 (請說明): \_\_\_\_\_

(b) Country(ies) of Origin(s) of Funds 資金來源地:

Hong Kong 香港

Mainland China 中國內地

Macau 澳門

Singapore 新加坡

United States 美國

Canada 加拿大

Others (Please specify) 其他 (請說明): \_\_\_\_\_

Note#: Please choose one of the options only  
註#: 請只選擇其中一項

## SECTION B GENERAL INFORMATION 一般資料

(1) List of Director(s) 董事名冊

Name(s) 姓名	ID/Passport No(s). 身份證 / 護照號碼

OR please refer to the attached document(s) 或請參閱附加之文件 \_\_\_\_\_

(2) List of Beneficial Owner(s)\* 實益擁有人\*名冊

Note註：This section DOES NOT apply to any Applicant falling within section 4(3) of Schedule 2 of the Anti-Money Laundering and Counter-Terrorist Financing (Financial Institutions) Ordinance (Cap.615 of the Laws of Hong Kong) (the "AMLO") (e.g. a financial institution, a listed company etc.)  
此部分不適用於申請人為《打擊洗錢及恐怖分子資金籌集（金融機構）條例》（香港法例第615章）（下稱「打擊洗錢條例」）附表2之第4(3)部分所定義的公司（例如金融機構、上市公司等）

	(A)	(B)	(C)	(D)	(E)
Name in English 中文姓名					
ID Card/Passport No. 身份證 / 護照號碼					
Date of Birth 出生日期 DD(日)/MM(月)/YYYY(年)					
Nationality 國籍					
Residential Address 住址 (Please provide address proof within the past 3 months 請提供最近3個月的地址證明)	_____	_____	_____	_____	_____
Permanent Address 永久地址 (Please provide address proof within the past 3 months 請提供最近3個月的地址證明)	<input type="checkbox"/> Same as residential address 與住址相同 <input type="checkbox"/> Otherwise, please specify 若與住址不同，請說明： _____ _____ _____	<input type="checkbox"/> Same as residential address 與住址相同 <input type="checkbox"/> Otherwise, please specify 若與住址不同，請說明： _____ _____ _____	<input type="checkbox"/> Same as residential address 與住址相同 <input type="checkbox"/> Otherwise, please specify 若與住址不同，請說明： _____ _____ _____	<input type="checkbox"/> Same as residential address 與住址相同 <input type="checkbox"/> Otherwise, please specify 若與住址不同，請說明： _____ _____ _____	<input type="checkbox"/> Same as residential address 與住址相同 <input type="checkbox"/> Otherwise, please specify 若與住址不同，請說明： _____ _____ _____
Correspondence Address 通訊地址	<input type="checkbox"/> Same as residential address 與住址相同 <input type="checkbox"/> Otherwise, please specify 若與住址不同，請說明： _____ _____ _____	<input type="checkbox"/> Same as residential address 與住址相同 <input type="checkbox"/> Otherwise, please specify 若與住址不同，請說明： _____ _____ _____	<input type="checkbox"/> Same as residential address 與住址相同 <input type="checkbox"/> Otherwise, please specify 若與住址不同，請說明： _____ _____ _____	<input type="checkbox"/> Same as residential address 與住址相同 <input type="checkbox"/> Otherwise, please specify 若與住址不同，請說明： _____ _____ _____	<input type="checkbox"/> Same as residential address 與住址相同 <input type="checkbox"/> Otherwise, please specify 若與住址不同，請說明： _____ _____ _____
Telephone No. 電話號碼					
Is the Beneficial Owner* a U.S. citizen, a green card holder or residing in the U.S.? 實益擁有人* 是否美國公民、綠卡持有人或居住於美國？	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
Was the Beneficial Owner* born in the U.S.? 實益擁有人*是否出生於美國？	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否

OR please refer to the attached document(s) 或請參閱附加之文件 \_\_\_\_\_

\* The AMLO defines Beneficial Owner in relation to a corporation as:  
就法團而言，「打擊洗錢條例」將實益擁有人的定義界定為：  
(i) an individual who –  
符合以下說明的個人–  
(a) owns or controls, directly or indirectly, including through a trust or bearer share holding, not less than 10% of the issued share capital of the corporation;  
直接或間接地擁有或控制（包括透過信託或持票人股份持有）該法團已發行股本的不少於10%；  
(b) is, directly or indirectly, entitled to exercise or control the exercise of not less than 10% of the voting rights at general meetings of the corporation;  
直接或間接地有權行使在該法團的成員大會上的投票權的不少於10%，或支配該比重的投票權的行使；或  
(c) exercises ultimate control over the management of the corporation; or  
行使對該法團的管理最終的控制權；或  
(ii) if the corporation is acting on behalf of another person, means the other person.  
如該法團是代表另一人行事是指該另一人。

Please refer to section 1(1) of Schedule 2 to the AMLO for the definition of Beneficial Owner in relation to a partnership and trust.  
請參閱「打擊洗錢條例」附表2之第1(1)部分關於有關合夥及信託實益擁有人的定義。

(3) Authorized Person(s) 獲授權人士

The following person(s) is/are person(s) authorized by the Applicant as Authorized Person(s) to operate the Account and do any other things in accordance with the Client Agreement on behalf of the Applicant. The signature(s) appearing below shall be recorded as specimen signature(s) for the purpose of the Account and all matters relating to it. **Before signing, please read Clause (17) in Section G.**

下列人士乃申請人授權作為獲授權人可代表申請人操作帳戶及可按客戶協議作出任何其他事宜的人士。為帳戶及所有其他相關事宜，以下簽署將被記錄為簽署樣式。於簽署前，請細閱G項第(17)條。

	(A)	(B)	(C)	(D)
Name in English (Please see Note below if an EBSHK Group employee/ licensed representative)				
中文姓名 (如是光大新鴻基集團僱員 / 持牌代表，請注意以下註明)				
Identity Card/Passport No. 身份證 / 護照號碼				
Date of Birth 出生日期 DD(日)/MM(月)/YYYY(年)				
Nationality 國籍				
Residential Address 住址	_____	_____	_____	_____
	_____	_____	_____	_____
	_____	_____	_____	_____
	_____	_____	_____	_____
	_____	_____	_____	_____
Correspondence Address 通訊地址	<input type="checkbox"/> Same as residential address 與住址相同 <input type="checkbox"/> Otherwise, please specify 若與住址不同，請說明： _____ _____ _____	<input type="checkbox"/> Same as residential address 與住址相同 <input type="checkbox"/> Otherwise, please specify 若與住址不同，請說明： _____ _____ _____	<input type="checkbox"/> Same as residential address 與住址相同 <input type="checkbox"/> Otherwise, please specify 若與住址不同，請說明： _____ _____ _____	<input type="checkbox"/> Same as residential address 與住址相同 <input type="checkbox"/> Otherwise, please specify 若與住址不同，請說明： _____ _____ _____
Is the Authorized Person a U.S. citizen, a green card holder or residing in the U.S.? 獲授權人士是否美國公民、綠卡持有人或居住於美國？	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
Was the Authorized Person born in the U.S.? 獲授權人士是否出生於美國？	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
Telephone No. 電話號碼				
Fax No. (if any) 傳真號碼 (若有)				
Relationship with the Applicant and Job Title/Occupation 與申請人之關係及職銜 / 職業				
Years Spent in Current Occupation 現行職業的從業年數				
Education Level 學歷	<input type="checkbox"/> Primary or below 小學或以下 <input type="checkbox"/> Secondary or above 中學或以上	<input type="checkbox"/> Primary or below 小學或以下 <input type="checkbox"/> Secondary or above 中學或以上	<input type="checkbox"/> Primary or below 小學或以下 <input type="checkbox"/> Secondary or above 中學或以上	<input type="checkbox"/> Primary or below 小學或以下 <input type="checkbox"/> Secondary or above 中學或以上
Specimen Signature 簽名樣式				

Note : Please note Clause (11) of Section G for EBSHK Group's policy and declaration requirements if EBSHK Group's employee(s)/licensed representative(s) is/are authorized person(s) of the Applicant.  
註明：請注意G項第(11)條有關光大新鴻基集團之僱員 / 持牌代表擔任申請人之獲授權人士的政策及聲明。

- (4) Details of the Applicant's bank account for payment of money (if any) by the company(ies) of EBSHK Group to the Applicant (under the name of the Applicant):

可供光大新鴻基集團的公司用作支付任何款項（若有的話）予申請人之銀行帳戶詳細資料（需以申請人名義持有）：

Further, the Applicant hereby agrees that if this Account Application is approved by the relevant company(ies) of EBSHK Group, the bank account below shall be used to receive payments (if any) to the Applicant in accordance with the Documents.

再者，申請人現同意，若本開戶申請表獲相關光大新鴻基集團的公司所核准，以下銀行帳戶將被用作接受按文件給予申請人的款項（若有的話）。

Designated bank 指定銀行：\_\_\_\_\_ Bank account no. 銀行帳戶號碼：\_\_\_\_\_

Name of bank account holder 銀行帳戶持有人姓名：\_\_\_\_\_

Applicant's signature and  
Specimen of business chop  
申請人簽署及業務印章式樣 \_\_\_\_\_

- (5) The company(ies) of EBSHK Group is authorized to act according to instructions received from you via the following means (\*Please choose instruction method for each instruction type)  
光大新鴻基集團的公司已獲授權根據閣下以下指示的方法行事（\*請選擇各指示類型的指示方法）

Instruction Method (Please choose one) 指示方法（請選擇一項）	Instruction types 指示類型	
	Trading Instructions 買賣指示	Other instructions (e.g. fund withdrawal) 其他所有指示（例如：提取資金）
Given by any one of the above Authorized Persons/singly 上述獲授權人 / 任何一人	Yes 是 / No 否*	Yes 是 / No 否*
Given by any two of the above Authorized Persons/jointly 上述獲授權人 / 任何兩人	N/A 不適用	Yes 是 / No 否*
Others. Please state 其他，請說明		

Further, the Applicant hereby agrees that notwithstanding anything to the contrary which may be contained in the Client Agreement (as amended from time to time), if this Account Application is approved by the relevant company(ies) of EBSHK Group, the relevant company(ies) of EBSHK Group shall be entitled (and is hereby authorized) to continue to act in accordance with the above instruction methods until it is notified to the contrary in writing in accordance with the notice provisions of the Client Agreement (as amended from time to time). If the Client Agreement covers both instructions and offers, "instruction types", "instruction type", "instruction methods", "instruction method" and "instructions" mentioned above include "offer types", "offer type", "offer methods", "offer method" and "offers" respectively.

再者，申請人現同意，儘管客戶協議（及其不時之修訂本）或另有規定，若本開戶申請表獲相關光大新鴻基集團的公司所核准，相關光大新鴻基集團的公司將可（及現獲授權可）繼續按如上指示方法行事，直至相關光大新鴻基集團的公司被書面通知（按客戶協議（及其不時之修訂本）之通知條文）另有所規定為止。若客戶協議包含指示及要約，以上提及的「指示類型」、「指示方法」及「指示」各自地包括「要約類型」、「要約方法」及「要約」。

- (6) Person(s) or entity(ies) ultimately responsible for originating instructions (trading and/or others) for the Account ("Responsible Person(s)")  
為此帳戶之最終負責作出指示（交易及 / 或其他指示）的人士或實體（「負責人士」）

The Applicant 申請人  One of the above Authorized Persons 上述其中一名授權人：  
(A) – (D) \_\_\_\_\_

Others (Please provide the information below) 其他（請提供以下資料）：

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

Nationality 國籍：\_\_\_\_\_ Email Address 電子郵件地址：\_\_\_\_\_

Telephone No. 電話號碼：\_\_\_\_\_ Fax No. 傳真號碼：\_\_\_\_\_

Residential Address 住址：(Please provide address proof within the recent 3 months 請提供最近3個月的地址證明)

Flat 室 Floor 樓數 Block 座數 \_\_\_\_\_ House 樓/Building 大廈 \_\_\_\_\_ Estate 屋邨/Garden 花園 \_\_\_\_\_

No. and Name of Street 門牌號數及街道名稱 \_\_\_\_\_ District 分區/Area 地區 \_\_\_\_\_ Country 國家 \_\_\_\_\_





**SECTION E FACILITIES APPLICATION 額度申請****Office Use: TO BE COMPLETED BY (i) HEAD OF E-BUSINESS (OR DELEGATE) (for SHKOS) or (ii) INVESTMENT CONSULTANT (for other EBSHK Group entities)**

由(i)電子商務部主管(或其代表)(適用於新鴻基科網);或(ii)客戶經理(適用於其他光大新鴻基集團的公司)填寫

**For Cash Securities Trading Account**  
現金證券交易帳戶Proposed Settlement Limit: HK\$ \_\_\_\_\_ 港元  
建議結算限額**For Margin Securities Trading Account**  
孖展證券交易帳戶Proposed Credit Limit: HK\$ \_\_\_\_\_ 港元  
建議貸款限額

Overdraft Interest Rate 透支利率: \_\_\_\_\_ % plus prime lending rate 加優惠利率

Security % Limit 抵押比率: \_\_\_\_\_ %  
(Acceptance/Market 可接受貨值 / 市值)**For Stock Options Trading Account**  
股票期權交易帳戶Proposed Position Limit: HK\$ \_\_\_\_\_ 港元  
建議持倉限額

Other Terms 其他條款: \_\_\_\_\_

**For OTC Swap Account**  
場外掉期帳戶Proposed Position Limit: HK\$ \_\_\_\_\_ 港元  
建議持倉限額

Other Terms 其他條款: \_\_\_\_\_

**For Commodities Trading Account**  
期貨交易帳戶Proposed Position Limit: HK\$ \_\_\_\_\_ 港元  
建議持倉限額

Other Terms 其他條款: \_\_\_\_\_

**For Bullion Trading Account**  
黃金交易帳戶Proposed Position Limit: US\$ \_\_\_\_\_ 美元  
建議持倉限額

Other Terms 其他條款: \_\_\_\_\_

**For Global Payments Account**  
環球付款帳戶Proposed Position Limit: US\$ \_\_\_\_\_ 美元  
建議持倉限額

**SECTION F APPLICANT'S AGREEMENT & ACKNOWLEDGEMENT 申請人之承諾及確認**

We have read and fully understood the contents of this Account Application and the Client Agreement(s) and agree to be bound by them.  
吾等已閱讀並完全明白本開戶申請表及客戶協議之內容，並同意受其等所約束。

Further, we confirm that the Risk Disclosure Statements, Risk Disclosure Information (if applicable) and US Trader RDS & Info (if applicable), in or accompanying the Client Agreement have been provided in a language of our choice (English or Chinese) and that we each have read, understood and accepted the nature and contents thereof. We appreciate that they are not and cannot be taken as a comprehensive or exhaustive list of all possible risks. We further confirm that we have been given the opportunity to ask questions and take independent advice if we so wish.

再者，吾等確認載於或附隨客戶協議之風險披露聲明、風險披露資料（若適用）美股易風險披露聲明及資料（若適用）已按吾等選擇之語言（英文或中文）提供予吾等，及吾等已閱讀，明白和接受其／其等（若適用）性質和內容。吾等明白它們不是而且不能被當作為一份完全或徹底列舉所有潛在風險的清單。此外，吾等已被給予機會提出問題及徵求獨立的意見（若吾等有此意願）。

In case we execute this Account Application not before an EBSHK Group staff member/EBSHK Group licensed representative, or in case we execute this Account Application in accordance with any non-face to face procedures as may be permitted by the applicable laws and/or regulatory requirements, we confirm that we are aware that (i) EBSHK Group will contact us via telephone call ("Follow-up Call") to explain to us the Risk Disclosure Statements and, if applicable, Risk Disclosure Information before permitting us to trade under any account to be opened under this Account Application and (ii) if we do not confirm that we fully understand and accept the relevant risks during such Follow-up Call, we can immediately withdraw this Account Application and have this Account Application and supporting documents returned to us.

若吾等並非在一名光大新鴻基集團員工／光大新鴻基集團持牌代表面前簽署此開戶申請表，或吾等在適用法律及／或監管規定准許的情況下根據非親身開戶程序簽署此開戶申請表，吾等確認吾等知悉(i)在吾等獲准在根據此開戶申請表開立的帳戶內進行交易前，光大新鴻基集團將會電話聯絡吾等（「跟進電話」）以解釋風險披露聲明及風險披露資料（若適用）；及(ii)若吾等在跟進電話中不確認吾等完全明白並接受有關的風險，吾等可以立刻取消有關申請並取回此開戶申請表及相關證明文件。

**For Cash Securities Trading Account(s) and Margin Securities Trading Account(s) Only 只適用於現金證券交易帳戶及孖展證券交易帳戶**

We also confirm that the RISKS OF TRADING IN EXCHANGE-TRADED STRUCTURED PRODUCTS (e.g. Derivative Warrants, Callable Bull/Bear Contracts) and the RISKS OF TRADING IN SYNTHETIC EXCHANGE TRADED FUNDS contained in the above-mentioned Risk Disclosure Statements have been explained to us and we have understood the contents thereof.

吾等確認已獲載於上述風險披露聲明之「買賣交易所買賣之結構性產品及衍生工具（例如：衍生權證，牛熊證）的一些相關風險」及「買賣合成交易所買賣基金的風險」之講解，且吾等已明白其內容。

**For Online Securities Trading Accounts (US Trader) Only 只適用於網上美國證券交易帳戶（美股易）**

(I) In addition, we have received the agreements of the Information Services Provider(s) (as defined in Clause 6 of the Supplement to Sixth Schedule to the Client Agreement of SHKIS) listed below ("ISP Agreements") and have read and fully understood the terms contained therein and agree to be bound by all the terms of the applicable ISP Agreement(s). (II) We have received the US Trader Anti-Money Laundering Undertakings, Representations and Warranties and have read and fully understand, and hereby undertake, represent and warrant to SHKIS in, and agree to, the terms contained therein. (III) We consent that SHKIS may, at our own risk, send our Access Codes (as defined in the Client Agreement of SHKIS) for US Trader to our email address(es) specified in Section A of this Account Application and we understand and accept all the risks associated with the sending of our Access Codes for US Trader to our aforesaid email address(es) (including, without limitation, the risks arising from the unreliable and public nature of the Internet which may cause incorrect information transmission or loss of confidentiality of the information transmitted).

(I)再者，吾等已收到以下所列資料服務供應商（定義見新鴻基投資服務的客戶協議附件六補充文件的條款6）的協議（「資料服務供應商協議」）並已閱讀及完全明白當中所載的條款，並同意受適用的資料服務供應商協議的所有條款所約束。(II)吾等已收到美股易反洗黑錢承諾、聲明及保證並已閱讀及完全明白當中所載的條款以及謹此就該等條款向新鴻基投資服務作出承諾、聲明、陳述及保證，並同意該等條款。(III)吾等同意：在風險由吾等獨自承擔下，新鴻基投資服務可將吾等的美股易接達密碼（定義詳於新鴻基投資服務的客戶協議）送往於本開戶申請表A項所指明的吾等電郵地址（一個或多個）處及吾等明白及接受所有與將吾等的美股易接達密碼送往吾等前述的電郵地址（一個或多個）（處相關之風險（包括但不限於因互聯網的不可靠及公眾的性質所產生之風險而這些性質可能導致傳輸不正確資料或所傳輸之資料失卻其保密性））。

**The ISP Agreements:****資料服務供應商協議：**

1. Agreements & Disclosures/Equities Non-Professional Market Data Agreement:  
協議及披露／股票非專業市場數據協議：
  - (a) NYSE and Amex Terms and General Applicability of Market Data  
紐約證券交易所（NYSE）及美國證券交易所（Amex）的條款及市場數據的普遍適用性
  - (b) OPRA Exchange Agreement – Non Professional Subscriber Application and Agreement:  
期權報價管理局交易協議 – 非專業用戶申請及協議  
(Last Sale and Quotation Information for Personal Non-business Use Only)  
(僅供個人非商業用途的最新沽售及報價資料)
2. Dow Jones Indices Terms and Conditions  
道瓊斯指數條款及條件
3. Agreements & Disclosures/On-Line Nasdaq Subscriber Agreement  
協議及披露／網上納斯達克用戶協議

**For OTC Swap Account(s) Only 只適用於場外掉期帳戶**

We acknowledge and agree that all transactions carried out in the OTC Swap Account will be subject to the OTC Swap T&Cs (Corporate) and the OTC Swap Account Annex together with the specific terms and conditions as stated in the Confirmation in respect of each specific transaction or other confirming evidence. We confirm that we have read and fully understand the contents of the OTC Swap T&Cs (Corporate), including without limitation the generic risks associated with over-the-counter derivative transactions listed in Second Schedule (Risk Disclosures) thereof, and agree to be bound by them.

吾等確認並同意所有於場外掉期交易戶口下開展之所有交易，將受場外掉期條款及細則（公司）及「場外掉期帳戶附件」以及確認書所載之關乎各項個別交易或其他確認證據之特定條款及細則約束。吾等確認已閱讀並完全明白場外掉期條款及細則（公司）之內容，包括但不限於場外掉期條款及細則（公司）的附件2（風險披露）中列明的場外交易衍生產品相屬之風險，並同意受其等所約束。

The following paragraphs are applicable to each authorized person and each director of the Applicant, whose personal data are set out in Sections B(3) and F hereof respectively.

下段將適用於申請人的每一位獲授權人士及每一位董事而其個人資料各自於本文件B(3)及F項中列明。

**Use of Personal Data for Direct Marketing 直接促銷中個人資料的使用**

I understand that EBSHK Group intends to use or transfer my personal data by or to members of the EBSHK Group (e.g. name, contact details and age group, etc.) for sending promotional or other materials and direct marketing of financial services, products or goods for which EBSHK Group may receive gain. EBSHK Group cannot do so without my consent. Should I disagree to such use or transfer of my personal data, I would indicate my objection by ticking the box(es) below, and I can change my instructions at any time by providing written notice to company(ies) of EBSHK Group.

If EBSHK Group receives any conflicting instructions from me regarding the use or transfer of my personal data, the instructions given at the latest date shall prevail.

本人明白光大新鴻基集團欲使用或由本集團的成員公司內部轉移本人的個人資料（例如姓名、聯絡資料和年齡組別等）以作傳送推廣或其他資料直及接促銷金融服務、產品或貨品，而光大新鴻基集團可能就此獲取得益，惟光大新鴻基集團在未經本人同意時不可使用本人的個人資料。若本人不同意本人的個人資料之使用或轉移，本人將於以下方格中打「☑」以示反對。本人可以隨時透過書面方式，向光大新鴻基集團更改指示。倘光大新鴻基集團就本人的個人資料的使用收到本人不一致的指示，則以最後日期提供的指示為準。

Authorized Person (A) 獲授權人士 (A) :

- I object to the use or transfer of my personal data by or to members of the EBSHK Group for direct marketing.  
本人反對本人的個人資料被光大新鴻基集團之成員用作直接促銷或與之有關的集團內部轉移。

Authorized Person (B) 獲授權人士 (B) :

- I object to the use or transfer of my personal data by or to members of the EBSHK Group for direct marketing.  
本人反對本人的個人資料被光大新鴻基集團之成員用作直接促銷或與之有關的集團內部轉移。

Authorized Person (C) 獲授權人士 (C) :

- I object to the use or transfer of my personal data by or to members of the EBSHK Group for direct marketing.  
本人反對本人的個人資料被光大新鴻基集團之成員用作直接促銷或與之有關的集團內部轉移。

Authorized Person (D) 獲授權人士 (D) :

- I object to the use or transfer of my personal data by or to members of the EBSHK Group for direct marketing.  
本人反對本人的個人資料被光大新鴻基集團之成員用作直接促銷或與之有關的集團內部轉移。

Financial services, products or goods include but are not limited to those relating to any type of investment, insurance, foreign exchange, lending or other related areas.

金融服務、產品或貨品包括但不限於任何投資、保險、外匯及借貸或其他相關範圍。

For definitions and details of the EBSHK Group's personal data policy, please refer to the Personal Data Schedule of the attached Client Agreement(s) or subsequent amendments (if any).

有關光大新鴻基集團個人資料政策的定義及詳情，請參閱附隨的客戶協議之個人資料附件或其後修訂（若有）。

Executed as a deed on 簽訂作契約於： \_\_\_\_\_  
(Insert date) (填上日期)

The Common Seal of:  
蓋上以下公司之法團印章：

\_\_\_\_\_  
Common Seal 法團印章

\_\_\_\_\_  
(Print name of the Applicant)  
(申請人正楷名稱)

**Signature of Director(s):**

董事簽署：

(Before signing, please read Clause (17) in Section G 簽署前，請閱讀G項第(17)條)

**Name and ID/Passport No. of the Director(s):**

董事之姓名及身份證 / 護照號碼：

**Witnessed by staff/licensed representative of the company(ies)**

of EBSHK Group\*:  
由光大新鴻基集團的公司之僱員 / 持牌代表見證\*：

**Name of the staff/licensed representative of the company(ies) of EBSHK Group:**

光大新鴻基集團僱員 / 持牌代表的姓名：

A) \_\_\_\_\_

\_\_\_\_\_  
CE No.  
中央編號

B) \_\_\_\_\_

\_\_\_\_\_  
CE No.  
中央編號

C) \_\_\_\_\_

\_\_\_\_\_  
CE No.  
中央編號

D) \_\_\_\_\_

\_\_\_\_\_  
CE No.  
中央編號

\* If not a EBSHK Group staff/EBSHK Group licensed representative, please sign in the Certification below:  
如非光大新鴻基集團僱員/光大新鴻基集團持牌代表，請簽署以下核證



**CERTIFICATION** (to be completed when Account Application is not signed before a staff member/licensed representative of EBSHK Group)  
核證 (如開戶申請表並非在光大新鴻基集團的僱員/持牌代表面前簽署請填此欄)

I am a \*Justice of the Peace/branch manager of a licensed bank/lawyer/certified public accountant (practising)/notary public/SFC licensed or registered person accredited to the intermediary named below. I hereby certify that on the date above written in this Section F, this Account Application was signed by each of above director(s) named in this Account Application (who each had been previously identified by production of the original of his/her Identity Card or Passport (detailed above) to me) before me and the common seal of the Applicant was affixed to this Account Application in my presence.

本人乃\*太平紳士/持牌銀行分行經理/律師/執業會計師/公證人/隸屬以下所指名之中介團體之證監會持牌或註冊人士。本人現證實：於以上在本F項所寫的日期當日，本開戶申請表乃由以上指名每一位董事(其身份已根據並向本人出示之身份證或護照(詳見上方)正本作核實)於本人面前簽訂及將申請人之法團印章蓋於本開戶申請表上。

\* Please delete as appropriate 請刪去不適用者

Signature of the certifier 證明人簽署

Date 日期

Name of the certifier (please print)  
證明人姓名(正楷)

Title (please print)  
銜頭(正楷)

CE No. of the certifier (if applicable)  
證明人之中央編號(如適用)

Name and CE No. of the intermediary to which the certifier is accredited (if applicable)  
證明人所隸屬之中介團體名稱及中央編號(如適用)

**Declaration by a licensed person accredited to the company(ies) of EBSHK Group**

隸屬於光大新鴻基集團的公司持牌人士聲明

I confirm that I have provided the Risk Disclosure Statements, Risk Disclosure Information (if applicable) and US Trader RDS & Info (if applicable), in or accompanying the Client Agreement in a language of the Applicant's choice (English or Chinese), and have invited the Applicant to read such Risk Disclosure Statements and if applicable, such Risk Disclosure Information, ask questions and take independent advice if the Applicant wishes. 本人確認已經按申請人所選擇語言(英文或中文)提供載或附於客戶協議的風險披露聲明、風險披露資料(若適用)及美股易風險披露聲明及資料(若適用)，並已邀請申請人閱讀該/該等(如適用)風險披露聲明、提出問題及徵求獨立的意見如其有此意願。

I hereby confirm that I have not engaged in, and undertake that I will not engage in any activities or have any formal or informal arrangements in place to assist the Applicant or clients of EBSHK Group to circumvent the account identification requirements in relation to the Foreign Account Tax Compliance Act of the United States of America.

本人在此確認本人沒有從事、亦承諾在將來不會從事任何活動或有任何正式或非正式安排以協助申請人或光大新鴻基集團的客戶規避有關美國海外帳戶納稅法案(Foreign Account Tax Compliance Act)。

**For Online Securities Trading Accounts (US Trader) Only** 只適用於網上美國證券交易帳戶(美股易)

(I) I confirm that I have provided the ISP Agreements (defined above) to the Applicant and have invited the Applicant to read the terms contained in the applicable ISP Agreement(s). (II) I have provided and invited the Applicant to read the US Trader Anti-Money Laundering Undertakings, Representations and Warranties. (III) I have explained to the Applicant that SHKIS may, at the Applicant's own risk, send the Applicant's Access Codes (as defined in the Client Agreement of SHKIS) for US Trader to the Applicant's email address(es) specified in Section A of this Account Application and I have explained the risks associated with the sending of the Applicant's Access Codes for US Trader to the Applicant's aforesaid email address(es) (including, without limitation, the risks arising from the unreliable and public nature of the Internet which may cause incorrect information transmission or loss of confidentiality of the information transmitted).

(I)本人確認本人已向申請人提供資料服務供應商協議(定義如上)並已邀申請人閱讀適用之資料服務供應商協議中的條款。(II)本人已提供並邀申請人閱讀美股易反洗黑錢承諾、聲明及保證。(III)本人已向申請人說明：在風險由申請人獨自承擔下，新鴻基投資服務可將申請人的美股易接達密碼(定義見新鴻基投資服務的客戶協議)送往於本開戶申請表A項所指明的申請人的電郵地址處及本人已說明將申請人的美股易接達密碼送往申請人前述的電郵地址處相關之風險(包括但不限於因互聯網的不可靠及公開之性質，這些性質可能導致傳輸不正確資料或所傳輸之資料失卻其保密性所產生的風險)。

**For Stock Options Trading Account(s) Only** 只適用於股票期權交易帳戶

I confirm that I have discussed matters relating to options with the Applicant, and based on the information provided, I believe that the Applicant has sufficient income and liquid assets to meet its obligations in respect of the options activity proposed and that such activity is reasonably suitable for the Applicant.

本人確認本人已與申請人商討有關期權買賣之事宜，根據所提供之資料，本人相信申請人有足夠收入及流動資產應付建議之期權買賣活動的有關責任，他/她亦適合進行此項買賣活動。

**For OTC Swap Account(s) Only** 只適用於場外掉期帳戶

I confirm that I have explained to Applicant the risks associated with over-the-counter derivative transactions listed in Second Schedule (Risk Disclosures) of the OTC Swap T&Cs (Corporate).

本人確認本人已向申請人解釋場外掉期交易之條款及細則(公司)的附件2(風險披露)中列明的場外交易衍生產品相屬之風險。

**For Cash Securities Trading Account(s) and Margin Securities Trading Account(s) Only** 只適用於現金證券交易帳戶及孖展證券交易帳戶

I confirm that I have explained to Applicant the RISKS OF TRADING IN EXCHANGE-TRADED STRUCTURED PRODUCTS (e.g. Derivative Warrants, Callable Bull/Bear Contracts) and the RISKS OF TRADING IN SYNTHETIC EXCHANGE TRADED FUNDS contained in the above-mentioned Risk Disclosure Statements.

本人確認已向各申請人講解載於上述風險披露聲明之「買賣交易所買賣之結構性產品及衍生工具(例如：衍生權證，牛熊證)的一些相關風險」及「買賣合成交易所買賣基金的風險」。

Signature of licensed person 持牌人簽署

Date 日期

Name of licensed person (please print)  
持牌人姓名(正楷)

CE No. (please print)  
中央編號(正楷)

Documentation checked by 文件查對人：\_\_\_\_\_

**SECTION G TERMS 條款**

- (1) The Account is a non-discretionary account, which means that every trade conducted in it must be specifically authorized orally/in writing by the Applicant or, if applicable, any person(s) duly authorized by the Applicant pursuant to this Account Application and/or the Client Agreement and/or the OTC Swap T&Cs (Corporate).

帳戶為非全權代客買賣帳戶，乃指帳戶內每項交易必須得申請人或根據本開戶申請表、客戶協議及 / 或場外掉期交易條款及細則（公司）訂明之一位或多位恰當地獲授權人士（若適用），以口頭或書面形式發出的特定授權才可進行交易。

- (2) Save for Clause (14) of this Section G and the paragraph immediately below the table regarding instruction types and instruction methods in Section B (5) above, this Account Application is subject to the Client Agreement as amended from time to time. Unless otherwise indicated in writing by the relevant company(ies) of EBSHK Group, the Documents shall together constitute the entire agreement and understanding between the Applicant and the relevant company(ies) of EBSHK Group in respect of the matters contemplated under the Documents. Terms defined in the Client Agreement have the same meanings when used in this Account Application (save where otherwise expressly provided in this Account Application). Save for Clause(14) of this Section G and the paragraph immediately below the table regarding instruction types and instruction methods in Section B (5) above, in the event of any conflict or inconsistency between the Client Agreement and any other document entered into between the Applicant and the relevant company(ies) of EBSHK Group and this Account Application, the Client Agreement and any other document entered into between the Applicant and the relevant company(ies) of EBSHK Group shall prevail to the extent of such conflict or inconsistency.

除本G項第(14)條及於B(5)項關於指示類型及指示方法表下緊接的一段外，本開戶申請表乃受客戶協議（及其不時之修訂本）所規限。除非相關光大新鴻基集團的公司另有書面表示，否則文件將一起構成申請人與相關光大新鴻基集團的公司之間就文件所預期之事宜的全部協議及諒解。本開戶申請表所用之詞語與客戶協議所定義者具相同釋義（除非於本開戶申請表內另有明示指定）。除本G項第(14)條及於B(5)項關於指示類型及指示方法表下緊接的一段外，倘若客戶協議及申請人與相關光大新鴻基集團的公司間之其他文件與本開戶申請表有任何矛盾或不相同之處，當以客戶協議及申請人與相關光大新鴻基集團的公司間之其他文件為準，但只限於該矛盾或不相同之處。

- (3) The company(ies) of EBSHK Group will not automatically release the Applicant's name and address as supplied in this Account Application to Hong Kong Securities Clearing Company Limited for receiving corporate communications directly from a relevant listed issuer(s). A separate authorisation (as specified by the company(ies) of EBSHK Group from time to time) to company(ies) of EBSHK Group signed by the Applicant will be required for this purpose.

光大新鴻基集團的公司不會自行將在本開戶申請表上所提供之申請人姓名及地址給予香港中央結算有限公司以作直接收取有關上市發行機構之公司通訊。申請人需就此另行向光大新鴻基集團的公司簽訂由光大新鴻基集團的公司不時指定之有關授權。

- (4) The Applicant hereby declares and represents that the information provided on, with, and/or pursuant to this Account Application is true, accurate, complete and up-to-date and that all action necessary to authorize the disclosure of such information (including obtaining consent for the disclosure of the personal data of the relevant director(s), officer(s), authorized person(s) or any other person(s) whose personal data appears in this form) to the company(ies) of EBSHK Group and the use of such information by the company(ies) of EBSHK Group for any purposes contemplated under or related to this Account Application has been taken. The Applicant hereby undertakes to provide such further information as subsequently and reasonably requested by the company(ies) of EBSHK Group from time to time or otherwise required under the Client Agreement. The Applicant hereby further undertakes to notify the company(ies) of EBSHK Group promptly of any change to any aforesaid information. The company(ies) of EBSHK Group is entitled to rely fully on all aforesaid information for all purposes until the company(ies) of EBSHK Group is notified to the contrary in writing and any such written notification shall be duly signed by the Applicant. The Applicant understands and accepts that unless otherwise agreed by the company(ies) of EBSHK Group in writing, any change to any aforesaid information shall not take effect until 5 days after the actual receipt by the company(ies) of EBSHK Group of the relevant written notification.

申請人聲明及上述開戶申請表上提供、隨附及 / 或按本開戶申請表所提供的資料皆為真實、準確、完整及為最新的，並且已採取一切必要行動獲授權可向光大新鴻基集團的公司披露該等資料（包括向其個人資料呈現於本申請表中的相關董事、人員、獲授權人或任何其他人士取得同意披露其個人資料）及光大新鴻基集團的公司可為本開戶申請表所預期或關於其的目的而使用該等資料。申請人並承諾此後根據客戶協議書或光大新鴻基集團之合理要求，不時向光大新鴻基集團的公司提供其他資料。申請人現再承諾即時通知光大新鴻基集團的公司任何前述資料之任何變更。除非光大新鴻基集團的公司接獲申請人以書面通知的任何變更，否則光大新鴻基集團的公司有權完全依賴所有前述之資料作一切用途及任何該等書面通知須由申請人恰當地簽署。申請人明白及接受：除非光大新鴻基集團的公司另有書面同意，否則任何前述資料的任何變更，只會於光大新鴻基集團的公司確實收妥有關書面通知當日起計五日後才會生效。

- (5) The Applicant hereby irrevocably and by way of security appoints the company(ies) of EBSHK Group as its lawful attorney to execute all documents and do all things which the company(ies) of EBSHK Group in good faith considers necessary and which the Applicant ought reasonably to do in furtherance or as a consequence of the terms of this Account Application or to perfect any security given by the Applicant.

申請人現不可撤銷地並以保證形式委任光大新鴻基集團的公司擔任其合法受託代表人簽訂所有文件，以及作出所有事情，而該等文件及事情乃光大新鴻基集團的公司真誠地認為申請人應當合理簽訂或作出以貫徹本開戶申請表之條款或因此等條款而產生或以完善任何由申請人提供的抵押的文件或事情。

- (6) The Applicant should familiarise itself with and, where applicable, take advice on the laws and regulations applicable to the subscription, holding and realisation of the investments in respect of the Account in all relevant jurisdictions. The Applicant hereby warrants and represents and undertakes to ensure (and it is its sole responsibility to ensure) that under the laws of its place of incorporation/establishment and, if applicable, all other relevant jurisdictions, it is lawfully entitled or permitted to open and maintain the Account with the company(ies) of EBSHK Group subject to the terms of the Client Agreement; to enter into such transactions, and to hold such assets, as contemplated under the Client Agreement and to comply with the terms of the Client Agreement and such warranties, representations and undertakings to the company(ies) of EBSHK Group are deemed to be repeated on each day up to and including the termination of the Client Agreement with the relevant company(ies) of EBSHK Group. Termination of the Client Agreement with the relevant company(ies) of EBSHK Group shall not affect any action by the relevant company(ies) of EBSHK Group or any of its agents or any third party permitted under such Client Agreement initiated prior to the date of termination or any indemnity or warranty given by the Applicant under such Client Agreement. The Applicant undertakes to pay all taxes, charges and other amounts, directly and indirectly, arising out of or in connection with the opening and/or maintaining of the Account and/or the entering into the aforesaid transactions and/or the holding of the aforesaid assets and/or the compliance with the terms of the Client Agreement. It is the sole responsibility of the Applicant to deal with any matter related to this Clause (6) and the company(ies) of EBSHK Group is under no obligation to take any action in relation to any such matter. Should the Applicant require any reasonable assistance from the company(ies) of EBSHK Group regarding any such matter, the company(ies) of EBSHK Group may, in its absolute discretion, render such assistance and all the costs, fees, charges, expenses and other amounts thereby incurred (including any service charges of the company(ies) of EBSHK Group for or in connection with rendering such assistance) shall be solely borne by the Applicant which undertakes to pay the same. Notwithstanding anything in this Clause (6) and notwithstanding the company(ies) of EBSHK Group may have rendered any assistance to the Applicant before (whether regarding the same matter or not), the company(ies) of EBSHK Group may, at any time, without liability to the Applicant or any third party and without assigning any reason therefor, refuse to render any assistance or further assistance (as the case may be) to the Applicant.

申請人應熟悉在所有相關的司法管轄區適用於關於帳戶之認購、持有及變現投資的法律及規則並當適用時尋求相關意見。申請人現保證及承諾確保（及此乃其獨自的責任去確保）根據其成立為法團 / 成立的地方及若適用，所有其他相關司法管轄區的法律，其乃合法地有權或被許可在受制於客戶協議條款下於光大新鴻基集團的公司開立並維持帳戶；及持有客戶協議所預期之交易及資產；以及遵守客戶協議的條款。再者，該



等向光大新鴻基集團的公司發出的保證、申述及承諾將被視為每日作出，直至及包括相關光大新鴻基集團的公司的客戶協議終止為止。相關光大新鴻基集團的公司的客戶協議之終止，將不會影響在終止日前相關光大新鴻基集團的公司或其任何代理人或任何第三方於該客戶協議容許下已展開之行動，亦不影響申請人在該客戶協議下給予之任何彌償或保證。申請人承諾支付直接或間接因或關於開立及／或維持帳戶及／或進行前述的交易及／或持有前述的資產及／或遵守客戶協議的條款而產生的所有稅項、費用及其他款項。此乃申請人獨自的責任處理關於本第(6)條的任何事宜，光大新鴻基集團的公司並沒有責任就任何該等事宜採取任何行動。若申請人就任何該等事宜需要光大新鴻基集團的公司的任何合理協助，光大新鴻基集團的公司可能以其絕對對情權提供該協助，並且因此而招致的所有開支、費用、收費、支出及其他款項（包括光大新鴻基集團的公司為或關於提供該協助的任何服務費）將由申請人獨自承擔而其亦承諾支付。儘管本第(6)條有任何規定及儘管光大新鴻基集團的公司可能以前已向申請人提供任何協助（不論是否關於同一事宜），光大新鴻基集團的公司可隨時拒絕向申請人提供任何協助或進一步的協助（視情況而定）但無須向申請人或任何第三方承責亦無須給予任何理由。

- (7) The Applicant confirms that unless otherwise indicated in this Account Application, it is acting as principal in relation in the Account.  
申請人確認就帳戶而言，除非於本開戶申請表另有所指示，其乃以主事人的身份行事。
- (8) The Applicant confirms that it has read, is aware of and understands the terms set out in the Form of Options Information Statement, Disclaimer in Relation to Trading of Stock Index Futures Contracts, Disclaimer in Relation to Trading of Stock Index Option Contracts and HK Exchange Disclaimer in the Client Agreement (This Clause (8) is applicable to the Applicant if any Account, once approved to be opened, is governed by the relevant Client Agreement comprising the foregoing documents.)  
申請人確認已閱讀，知悉並完全明白客戶協議內之期權資料說明表、有關買賣股票指數期貨的免責聲明、有關買賣股票指數期權的免責聲明及香港交易所免責聲明（本第(8)條適用於申請人任何（一旦獲核准開立）由包含前述文件之相關客戶協議所規限的帳戶）。
- (9) (i) The use of online trading services, specified at page 1 of this Account Application, shall be in accordance with SHKIS', SHKOS', SHKB's, SHKCOM's and SHKFX's Client Agreement respectively and such other applicable terms as may be designated from time to time by SHKIS, SHKOS, SHKB, SHKCOM and/or SHKFX. Depending on the choice of the Applicant indicated by ticking the appropriate box(es) for any one or more or all of the aforesaid online trading services ("**Chosen Electronic Services**"), the Applicant agrees to use the Chosen Electronic Services on such website(s) as designated by the company(ies) of EBSHK Group from time to time and in accordance with the applicable document(s) and terms above mentioned in this Clause (9)(i) ("**Applicable Documents**") for the purpose of this Clause (9) only). The Applicant confirms that the relevant terms and conditions set out in the Applicable Documents, as well as the related risks set out therein and in the Risk Disclosure Statements ("**Risks**"), have been explained to it. The Applicant confirms its understanding and acceptance of the Risks. The Applicant agrees to use the Chosen Electronic Services in accordance with the Applicable Documents. (This Clause (9)(i) is only applicable to the Applicant who has ticked the appropriate box(es) for the Chosen Electronic Services at page 1 of this Account Application)  
本開戶申請表第1頁所指明的網上交易服務將各自按新鴻基投資服務、新鴻基科網、新鴻基金業、新鴻基期貨及新鴻基外匯的客戶協議以及新鴻基投資服務、新鴻基科網、新鴻基金業、新鴻基期貨及／新鴻基外匯可能不時指定之其他適用條款使用。視乎申請人於本開戶申請表第1頁適當方格中加上「✓」號作為顯示其所選擇上述之一項、多項或所有電子服務（「已選擇電子服務」），申請人同意，根據本第(9)條上述適用的一份或多份文件及條款（「適用文件」僅作本第(9)條之用途）並於光大新鴻基集團的公司不時指定的一個或多個網站使用已選擇電子服務。申請人確認，其已獲解釋於適用文件內所列表載的相關條款及條件及於適用文件及風險披露聲明內列出之相關風險（「該等風險」）。申請人確認其已明白和接受該等風險。申請人同意根據適用文件使用已選擇電子服務。（本第(9)(i)條只適用於本開戶申請表第1頁於已選擇電子服務之適當方格中加上「✓」號之申請人。）
- (ii) The Applicant consents to receive all relevant contract notes, daily and monthly statements of account, confirmations and the like (collectively, "**Advice**") for the purpose of this Clause (9) only) to be issued by the relevant company(ies) of EBSHK Group by means of email to the email address(es) provided in Section A herein above if this Account Application is approved by the relevant company(ies) of EBSHK Group. The Applicant hereby acknowledges that the Internet or other electronic medium is an inherently unreliable medium of communication and that such unreliability is beyond EBSHK Group's control or anticipation. The Applicant agrees that EBSHK Group shall not be responsible for any loss, damage, cost, expenses, claim or liability of whatsoever nature, directly or indirectly, arising out of or in connection with such unreliability or the public nature of the Internet or other electronic medium or any other cause beyond EBSHK Group's control or anticipation. (This Clause (9)(ii) is only applicable to the Applicant who has selected "Email" as the delivery method in Section A(1). However, if the Applicant is required to complete and sign an Application for Electronic Services for the purpose of receiving Advice (defined above), the terms and conditions in such Application for Electronic Services shall supersede this Clause (9)(ii).)  
若本開戶申請表獲相關光大新鴻基集團的公司所核准，申請人同意於以上本開戶申請表A項所指定之電子郵件地址收取由相關光大新鴻基集團的公司以電郵方式發出之所有相關之成交單據、帳戶日結單及月結單、確認函及同類文件（僅就本第(9)條之用途，統稱「通知書」）。申請人在此確認互聯網或其他電子媒介本質上乃不可靠的通訊媒介，而該不可靠性乃非光大新鴻基集團所能控制或預期的。申請人同意，對直接或間接因或相關於該不可靠性，互聯網或其他電子媒介之公眾性質或任何其他非光大新鴻基集團可控制或預期的原因而產生之任何損失、損害、開支、費用、索求或責任（不論屬任何性質），光大新鴻基集團一概並不承責。（本第(9)(ii)條只適用於在A(1)項已選擇「電郵」為送遞方法之申請人。但若申請人須為收取通知書（釋義按上）而填寫並簽署電子服務申請書，則該電子服務申請書所載之條款及條件將替代本第(9)(ii)條。）
- (10) The Applicant confirms the receipt of, and understands and agrees to the terms of EBSHK Group's policies and practices relating to the use of personal data either attached to this Account Application as the Statement of Practice in regard to Personal Data (Privacy) Ordinance or attached to/provided in the Client Agreement and/or the OTC Swap T&Cs (Corporate) (as the case may be).  
申請人確認收到及明白並同意光大新鴻基集團有關個人資料使用之政策及慣例之條款，該等條款於附隨本開戶申請表的關於個人資料（私隱）條例之操作聲明中列明或附隨／載於客戶協議及／或場外掉期交易條款及細則（公司）（視情況而定）。
- (11) It is the policy of EBSHK Group that none of its employees/licensed representatives should be an Authorized Person specified in Section B(3), except where such employee/licensed representative has sufficient shareholding to control or influence the Applicant, its board of directors or business. Under such circumstances, such employee/licensed representative is required to make a separate written declaration as below.  
按照光大新鴻基集團的政策，光大新鴻基集團之僱員／持牌代表概不能擔任B(3)項所述之獲授權人，除非其擁有足夠的股份以控制或影響申請人、申請人之董事局或其業務。於該等情況，該僱員／持牌代表亦須另作下述書面聲明。
- (12) **The Applicant expressly consents that the company(ies) of EBSHK Group may at any time and from time to time send to it by telephone, email or other electronic means any messages relating to services or products which, in the opinion of the company(ies) of EBSHK Group, the Applicant may be interested. Notwithstanding the foregoing, the Applicant may at any time request not to receive such messages from the company(ies) of EBSHK Group by sending an "unsubscribe" request to the unsubscribe facility specified in such messages or by written notice to the company(ies) of EBSHK Group at the address stated at the front page of this Account Application or such other address as the company(ies) of EBSHK Group may subsequently notify from time to time.**  
申請人明確同意光大新鴻基集團的公司可隨時及不時透過電話、電子郵件或其他電子途徑傳送予申請人光大新鴻基集團的公司認為其可能有興趣之服務或產品訊息。儘管以上所述，但如申請人不欲收取該等訊息，可將取消接收要求送致該等訊息內所指定之取消接收選項或以書面寄至本開戶申請表首頁所述之地址或光大新鴻基集團的公司日後所公佈之其他地址。
- (13) The Applicant hereby agrees to indemnify, on demand, the company(ies) of EBSHK Group (on a full indemnity basis) for all losses, costs and expenses (including legal costs) and liabilities of any nature whatsoever suffered or incurred by the company(ies) of EBSHK Group in reliance on any information mentioned in Clause (4) of this Section G or in consequence of any failure to provide any such information in a timely manner or at all by the Applicant or, directly or indirectly, arising from or in connection with the company(ies) of EBSHK Group's act or inaction in relation

to this Account Application (except for any wilful misconduct on its part), or any act or omission of the Applicant (whether or not constituting a breach of any provision contained in this Account Application).

申請人現承諾應要求彌償光大新鴻基集團的公司（按全面彌償基準）因依賴本G項第(4)條所述之任何資料或因申請人沒有及時或沒有向光大新鴻基集團的公司提供任何該等資料或直接或間接因或關於光大新鴻基集團的公司就本開戶申請表之任何行動或不行動（其故意不當行為除外）或申請人之任何行動或遺漏（不論是否構成一項違反本開戶申請表內所載之任何條款）而令光大新鴻基集團的公司蒙受或承擔的所有損失、費用及支出（包括法律費用）及責任（不論屬任何性質亦然）。

- (14) Notwithstanding anything to the contrary which may be contained in this Account Application or any other document, this Account Application is subject to the final approval of the company(ies) of EBSHK Group (whether with or without further conditions) and the company(ies) of EBSHK Group shall not be obliged to give any reason for not approving the same.

儘管本開戶申請表或任何其他文件可能另有訂明，本開戶申請表之最終核准將會由光大新鴻基集團的公司決定（不論有否其他條件）。同時，光大新鴻基集團的公司有權在無須提供理由之情況下拒絕該申請。

- (15) In this Account Application, the following terms have the following meanings:

於本開戶申請表，以下詞語具以下定義：

**"Application for Electronic Services"** means an application for internet, mobile devices, IVRS services or other form of electronic services, the contents and form(s) of which may be specified by EBSHK Group from time to time.

「電子服務申請書」指就互聯網、流動設備、音頻電話或其他形式的電子服務之申請書，其內容及格式由光大新鴻基集團不時指定。

**"relevant company(ies) of EBSHK Group"** means the company(ies) of EBSHK Group which agree(s) to open and maintain such account(s) and, where applicable, provide such services, with or without further conditions, as notified to the Applicant by such company(ies) in writing.

「相關光大新鴻基集團的公司」指一間或多間光大新鴻基集團的公司，而其 / 其等同意並以書面通知申請人開立及維持該通知所指的一個或多個帳戶及（若適用）（不論是否附帶其他條件）提供該通知所指的服務。

**"subsidiary"** bears the same meaning given to it under the Companies Ordinance (Cap.622 of the Laws of Hong Kong) (as amended from time to time).

「附屬公司」與《公司條例》（香港法例第622章）（及其不時修訂本）下所指明的附屬公司具相同定義。

For the purposes of this Account Application, two companies shall be taken to be associated companies if one is a subsidiary of the other, or both are subsidiaries of a third company, and "associated company" shall be construed accordingly.

就本開戶申請表而言，如兩間公司的其中一間是另一間的附屬公司，或該兩間公司俱是第三間公司的附屬公司，則該兩間公司將視為相聯公司，而「相聯公司」一詞亦據此解釋。

- (16) In this Account Application, unless the context otherwise specifies, terms in the singular shall include the plural and vice versa; all references to any particular gender shall include all genders; and references to Section(s) shall be to the Section(s) of this Account Application.

在本開戶申請表，單數詞語包括眾數詞語，反之亦然，提到一種性別之處，包括所有性別；及項目／項乃指本開戶申請表之項目／項。

- (17) The following paragraph is applicable to each authorized person and each director of the Applicant, whose personal data are set out in Sections B(3) and F hereof respectively.

下段將適用於申請人的每一位獲授權人士及每一位董事而其個人資料各自於本文件B(3)及F項中列明。

By signing this Account Application, (i) you each hereby agree to be bound by the terms of EBSHK's policies and practices relating to the use of personal data that are contained in a schedule to the Client Agreement; (ii) you each declare that the information relating to you provided in or pursuant to this Account Application is true, complete and correct and you will immediately notify the company(ies) of EBSHK Group of any change of such information.

於本開戶申請表上簽署，即(i)閣下每一位現同意接受光大新鴻基有關個人資料使用之政策及慣例之條款所約束，其等載於客戶協議的附件；及(ii)閣下每一位聲明，於或按本開戶申請表所提供關於閣下的資料乃真實、完整並正確的，及若該等資料有任何更改，閣下須立即通知光大新鴻基集團的公司。



**Office Use: TO BE COMPLETED BY (i) HEAD OF E-BUSINESS (OR DELEGATE) (for SHKOS); or (ii) INVESTMENT CONSULTANT (for other EBSHK Group entities)**

由(i)電子商務部主管(或其代表)(適用於新鴻基科網);或(ii)客戶經理(適用於其他光大新鴻基集團的公司)填寫

**Optional Information 自由提供資料**

Applicant's Background 申請人背景: \_\_\_\_\_

Applicant's relationship with Investment Consultant e.g. relatives (please specify), friend, etc.

申請人與客戶經理的關係,如親戚(請註明)、朋友等

Walk-in 街客     Referral 客戶轉介     Existing Client 現有客戶

Others (Please specify) 其他(請註明) \_\_\_\_\_

How long has the Applicant been known to Investment Consultant 客戶經理認識申請人的日子多久: \_\_\_\_\_

Investment Consultant's Signature 客戶經理簽署: \_\_\_\_\_

Full name 全名: \_\_\_\_\_

Details of any license or registration (including CE No.) 牌照或註冊資料(包括中央編號): \_\_\_\_\_

Department Head (or designated person)'s Signature

部門主管(或指定代表)簽署

\_\_\_\_\_  
Name (please print):

姓名(正楷)

Date 日期:

The relevant company(ies) of EBSHK Group (please specify):

相關光大新鴻基集團的公司(請指明):

SHKIS 新鴻基投資服務     SHKCOM 新鴻基期貨     SHKB 新鴻基金業     SHKFX 新鴻基外匯     SHKOS 新鴻基科網

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