

平安証券(香港)

Cash/ Margin Account Opening Form

開戶申請表

(Individual / Joint Account)

(個人/聯名帳戶)

FOR OFFICE USE ONLY

A/C No :

Client (A/C) Name:

A/C Opening Date :

Cash/ Margin Account Opening Form - Individual/ Joint Account

開戶申請表 - 個人/ 聯名帳戶

1. Customer Type 客戶種類			
<input type="checkbox"/> Individual Account 個人帳戶		<input type="checkbox"/> Joint Account 聯名帳戶	
2. Type of Hong Kong Securities Account 港股帳戶類別 (Please "√" as appropriate 如適用請加 "√")			
<input type="checkbox"/> Cash Account 現金帳戶		<input type="checkbox"/> Margin Account 保證金帳戶	
3. Other service 其他服務			
<input type="checkbox"/> Overseas Stock Trading Service 美股及其他海外股票市場交易服務		<input type="checkbox"/> Over-The-Counter (OTC) Trading Service 場外交易服務	
Please open the above account for me/us, I/we hereby confirm that I/we have read and understood the contents of the relevant Agreement(s) and the Risk Disclosure Statements and that I/we accept to be bound by the same. 請替我/我們開立以上的帳戶，我/我們確實已審閱及明白有關協議書和風險披露聲明的內容，並同意接受協議書所約束。			
4. Personal Information 個人資料			
Individual/Primary Account Holder 個人 / 聯名帳戶主要持有人		Joint/Secondary Account Holder 聯名帳戶第二持有人	
Name of Account Holder (English): Mr/Mrs/Miss 帳戶持有人英文姓名 (漢語拼音): 先生 / 太太 / 小姐:		Name of Account Holder (English): Mr/Mrs/Miss 帳戶持有人英文姓名 (漢語拼音): 先生 / 太太 / 小姐:	
Chinese Name 中文姓名	Date of Birth 出生日期	Chinese Name 中文姓名	Date of Birth 出生日期
ID Type 證件類型	Issuing Country/ Jurisdiction 簽發國家/ 地區	ID Type 證件類型	Issuing Country/ Jurisdiction 簽發國家/ 地區
ID No. 身份證明文件號碼		ID No. 身份證明文件號碼	
Nationality 國籍		Nationality 國籍	
Relationship with Secondary Account Holder (where applicable) 與第二持有人的關係 (如適用)			
Education Level 教育程度: <input type="checkbox"/> Professor or Doctor 教授/博士 <input type="checkbox"/> Postgraduate 研究生 <input type="checkbox"/> College or above 大專或以上 <input type="checkbox"/> Secondary 中學 <input type="checkbox"/> Primary School or Below 小學	Marital Status 婚姻狀況: <input type="checkbox"/> Single 未婚 <input type="checkbox"/> Married 已婚 <input type="checkbox"/> Divorced 離婚 <input type="checkbox"/> Widow 喪偶	Education Level 教育程度: <input type="checkbox"/> Professor or Doctor 教授/博士 <input type="checkbox"/> Postgraduate 研究生 <input type="checkbox"/> College or above 大專或以上 <input type="checkbox"/> Secondary 中學 <input type="checkbox"/> Primary School or Below 小學	Marital Status 婚姻狀況: <input type="checkbox"/> Single 未婚 <input type="checkbox"/> Married 已婚 <input type="checkbox"/> Divorced 離婚 <input type="checkbox"/> Widow 喪偶
Residential Address 住宅地址		Residential Address 住宅地址	
Correspondence Address 通訊地址 (如同上則不需填寫)		Correspondence Address 通訊地址 (如同上則不需填寫)	
Mobile Phone 手提電話	Business Phone 公司電話	Mobile Phone 手提電話	Business Phone 公司電話
Email Address 電郵地址		Email Address 電郵地址	
Would you like to apply for the Internet Trading Service? 閣下需要申請互聯網交易服務嗎? <input type="checkbox"/> Yes 需要 <input type="checkbox"/> No 不需要			
Designated Hong Kong Bank Account details 指定香港銀行帳戶資料			
Name of Bank 銀行名稱	Account Name 帳戶名稱	Account No. 帳戶號碼	
_____	_____	_____	

Preferred Method for Receiving Statements 收取結單方式 (Please select either one 只選一項) <input type="checkbox"/> Send to Email Address 寄至電郵地址 <input type="checkbox"/> Mail to Correspondence Address 郵寄至通訊地址		Preferred Method for Receiving Statements 收取結單方式 (Please select either one 只選一項) <input type="checkbox"/> Send to Email Address 寄至電郵地址 <input type="checkbox"/> Mail to Correspondence Address 郵寄至通訊地址	
5. Employment Details 工作詳情			
Name of Employer (or if self-employed, name of Business) 僱主名稱 (若自雇, 請填寫業務名稱)		Name of Employer (or if self-employed, name of Business) 僱主名稱 (若自雇, 請填寫業務名稱)	
Nature of Business 業務性質		Nature of Business 業務性質	
Position 職位	Years of Service 工作年期	Position 職位	Years of Service 服務年期
Business Address 公司地址		Business Address 公司地址	
6. Disclosure of Identity 相關身份披露			
Are you the ultimate beneficial owner(s) of the Account(s) who stands to gain the commercial or economic benefit of the transaction(s) and/or bear its commercial or economic risk? 閣下是否將會從交易取得商業或經濟利益及 / 或承擔其商業或經濟風險之帳戶最終實益擁有人? <input type="checkbox"/> Yes 是 <input type="checkbox"/> No, the full name of the beneficial owner(s) is 否, 最終實益擁有人全名 _____ ID/Passport No. and country of issue 身份證 / 護照號碼及簽發國家 _____ Address 地址 _____			
Are you a director, an employee or a representative of an intermediary licensed/registered under the Securities and Futures Ordinance? 閣下是否為《證券及期貨條例》下之持牌 / 註冊的中介人的董事、雇員或代表? <input type="checkbox"/> No <input type="checkbox"/> Yes*, please specify the name of the intermediary _____ <input type="checkbox"/> 否 <input type="checkbox"/> 是*, 請列出中介人名稱 _____ *Please attach a consent letter of account opening from your employer 請附上閣下雇主之開戶同意書			
Are you a relative of any director, employee or representative of Ping An Securities (Hong Kong) Company Limited? 閣下是否與平安證券(香港)有限公司之任何董事、職員或代表有親屬關係? <input type="checkbox"/> No <input type="checkbox"/> Yes, the name of the director, employee or representative and relationship with him/her _____ <input type="checkbox"/> 否 <input type="checkbox"/> 是, 請列出該董事、職員或代表之姓名及閣下與此人之關係 _____			
Is your spouse currently maintaining Account with Ping An Securities (Hong Kong) Company Limited? 閣下的配偶是否在平安證券(香港)有限公司的公開有帳戶? <input type="checkbox"/> No <input type="checkbox"/> Yes*, please specify _____ <input type="checkbox"/> 否 <input type="checkbox"/> 是*, 請列出帳戶號碼 _____			
Are you operating another Account in Ping An Securities (Hong Kong) Company Limited? 閣下是否控制另一平安證券(香港)有限公司之任何帳戶? <input type="checkbox"/> No <input type="checkbox"/> Yes*, please specify _____ <input type="checkbox"/> 否 <input type="checkbox"/> 是*, 請列出帳戶號碼 _____			
Are you, either alone or with your spouse, in control of 35% or more of the issued shares of any corporate client of Ping An Securities (Hong Kong) Company Limited? 閣下是否個人或與閣下的配偶共同控制任何平安證券(香港)有限公司的公司客戶 35% 以上的股權? <input type="checkbox"/> No <input type="checkbox"/> Yes*, please specify _____ <input type="checkbox"/> 否 <input type="checkbox"/> 是*, 請列出帳戶號碼 _____			

Are you a US Resident, US Citizen, other US Person or US Taxpayer?

No 否 Yes 是

閣下是否為美國居民、美國公民、其它美國人身份或需要向美國納稅的人士？

7. Financial Background 財務狀況

Annual income 年收入: (HK\$港幣): (Please tick 請加上“√”號)

<HK \$200,000 HK\$200,000-HK\$500,000 HK\$500,001-HK\$1,000,000 HK\$1,000,001-HK\$5,000,000 >HK\$5,000,000

Property 物業: (Please tick 請加上“√”號)

Owned with Mortgage 自置有按揭 Owned without Mortgage 自置無按揭 Rented 租賃

Quarters 宿舍 Living with family members 與家人同住

Net Worth 淨值 (HK\$港幣) (Exclude property under mortgage & vehicles 不包括已抵押的物業及車輛) (Please tick 請加上“√”號)

<HK\$500,000 HK \$500,000-HK\$1,000,000 HK\$1,000,001-HK\$5,000,000 HK\$5,000,001 -HK\$10,000,000 >HK\$10,000,000

8. Investment Questionnaire 投資問卷

Investment Objectives 投資目標

Investment objectives are overall objectives for the entire Account and may be inconsistent with a particular holding and the Account's performance at any time. 投資目標是帳戶的整體目標，可能會與某項持倉及帳戶的表現有所不符。

Dividend Income 保本股息

Capital Gain 資本增值

Speculation 投機

Hedging 對沖

Risk Tolerance for Loss of Capital 資本損失風險承受度

Very Low - 不願承受風險型 - Not willing to accept any capital loss. Seeking an income yield on deposits and other capital protected investments. 不願意接受任何資本損失。在存款及其他保本投資上尋求收益。

Low - 保守型 - Low risk tolerance but willing to accept slight price fluctuations in order to obtain returns better than that expected from a capital preservation strategy only. 風險承受度低，但願意接受輕微的價格波幅，以取得比僅從保本政策中取得的預期回報為佳的回報。

Medium - 均衡增長型 - Modest risk tolerance and willing to accept some investment risk for potentially higher returns. Seeking to achieve a balance between capital growth, income and capital protection. Price volatility acceptable in order to obtain a steady return with moderate capital growth. 風險承受度中等，並願意為取得較高回報而接受一些風險投資。在資本增值、收入及保本之間尋求達到平衡。可以接受價格波幅，在中等資本增值下取得穩健回報。

Very High - 進取型 - Seeking high growth for wealth accumulation and willing to accept substantial price volatility for investments. 為財富增值尋求高增長，並願意接受投資的大幅價格波動。

Investment Experience 投資經驗

Stock 股票	<input type="checkbox"/> no experience 沒有經驗	<input type="checkbox"/> within one year 1年以內	<input type="checkbox"/> 1-3year 1-3年	<input type="checkbox"/> 3-5 years 3-5年	<input type="checkbox"/> above 5 years 5年以上
Bond 債券	<input type="checkbox"/> no experience 沒有經驗	<input type="checkbox"/> within one year 1年以內	<input type="checkbox"/> 1-3years 1-3年	<input type="checkbox"/> 3-5 years 3-5年	<input type="checkbox"/> above 5 years 5年以上
Forex 外匯	<input type="checkbox"/> no experience 沒有經驗	<input type="checkbox"/> within one year 1年以內	<input type="checkbox"/> 1-3years 1-3年	<input type="checkbox"/> 3-5 years 3-5年	<input type="checkbox"/> above 5 years 5年以上
Real Estate 房地產	<input type="checkbox"/> no experience 沒有經驗	<input type="checkbox"/> within one year 1年以內	<input type="checkbox"/> 1-3years 1-3年	<input type="checkbox"/> 3-5 years 3-5年	<input type="checkbox"/> above 5 years 5年以上

9. Tax Residency 稅務居民資料

根據《稅務條例》有關交換財務帳戶資料的法律條文，請提供你（及/或聯名帳戶第二持有人）的稅務編號。如沒有稅務編號，必須填寫合適的理由：
理由 A - 帳戶持有人的居留司法管轄區並沒有向其居民發出稅務編號。
理由 B - 帳戶持有人無需提供稅務編號，居留司法管轄區的主管機關不需要帳戶持有披露稅務編號。
理由 C - 帳戶持有人不能取得稅務編號。（如選取理由 C，解釋帳戶持有人不能取得稅務編號的原因）

Pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance. Please provide your (and /or the Secondary Joint Account Holder's) jurisdiction of residence where the account holder(s) is a resident for tax purpose and TIN for each jurisdiction indicated. If a TIN is unavailable, provide and appropriate reason:

Reason A - The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its resident.

Reason B - TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.

Reason C - The account holder is unable to obtain a TIN.(Explain why the account holder is unable to obtain a TIN if you have selected Reason C)

個人/主要帳戶持有人 Individual/ Primary Joint Account Holder			第二帳戶持有人 Secondary Joint Account Holder		
<input type="checkbox"/> 本人持有香港稅務居民資格 I hold Hong Kong Tax residence			<input type="checkbox"/> 本人持有香港稅務居民資格 I hold Hong Kong Tax residence		
<input type="checkbox"/> 本人持有中國大稅務居民資格 I hold P.R.C. Tax residence			<input type="checkbox"/> 本人持有中國大稅務居民資格 I hold P.R.C. Tax residence		
<input type="checkbox"/> 本人持有其他地區稅務居民資格 I hold other tax residence			<input type="checkbox"/> 本人持有其他地區稅務居民資格 I hold other tax residence		
稅務管轄區: Jurisdiction of Residence:	(1)	(2)	稅務管轄區: Jurisdiction of Residence:	(1)	(2)
稅務編號: TIN: (如有, 中国大陆居民税务编号为身份证号码)	(1)	(2)	稅務編號: TIN: (如有, 中国大陆居民税务编号为身份证号码)	(1)	(2)
沒有稅務編號理由: No TIN Reason:	<input type="checkbox"/> 理由 A Reason A <input type="checkbox"/> 理由 B Reason B <input type="checkbox"/> 理由 C Reason C	<input type="checkbox"/> 理由 A Reason A <input type="checkbox"/> 理由 B Reason B <input type="checkbox"/> 理由 C Reason C	沒有稅務編號理由: No TIN Reason:	<input type="checkbox"/> 理由 A Reason A <input type="checkbox"/> 理由 B Reason B <input type="checkbox"/> 理由 C Reason C	<input type="checkbox"/> 理由 A Reason A <input type="checkbox"/> 理由 B Reason B <input type="checkbox"/> 理由 C Reason C
選取理由 C 的原因: Explanation to selected Reason C:			選取理由 C 的原因: Explanation to selected Reason C:		
額外資料 Additional Information:			額外資料 Additional Information:		

10. Structured and Derivative Products 結構性及衍生產品

For joint account(s), please complete an assessment for each account holder
如為聯名帳戶, 請每位帳戶持有人分別完成一份評估

1. Do I/We have knowledge and experience with the following products? (Please tick the relevant options "☑")

本人/我們是否有以下產品之知識及經驗: (請於相關選項打勾 "☑")

- | | | |
|-------------------------------|--------------------------|--------------------------|
| | Yes 是 | No 否 |
| (a) Structured products 結構性產品 | <input type="checkbox"/> | <input type="checkbox"/> |
| (b) Derivative products 衍生產品 | <input type="checkbox"/> | <input type="checkbox"/> |

* If any of the answer is "yes", please answer Question 2. 如選項有“是”, 請回答問題 2.

2. I/We have knowledge and experience of the following products. The relevant knowledge and experience comes from below (Multiple selections are allowed. Please tick the relevant options. "☑")

本人/我們具有以下產品之知識及經驗, 相關知識及經驗來自: (可多選, 請於相關選項打勾 "☑")

	Structured products 結構性產品	Derivatives products 衍生產品
Traded five transactions in the relevant product in the past 3 years (whether it is traded on an exchange) 過去 3 年內進行過五次有關產品之交易 (無論是否於交易所交易)	<input type="checkbox"/>	<input type="checkbox"/>
Training from regulatory bodies 監管機構的課程培訓	<input type="checkbox"/>	<input type="checkbox"/>
Training from Exchange 交易所的課程培訓	<input type="checkbox"/>	<input type="checkbox"/>
Training from educational institutions 教育機構的課程培訓	<input type="checkbox"/>	<input type="checkbox"/>
Training from financial institutions 金融機構的課程培訓	<input type="checkbox"/>	<input type="checkbox"/>

Client Confirmation 客戶確認:

Although I/we have no knowledge and experience in structured and derivative products, I/we have carefully read and understood the risk disclosure statement and understand the high risks involved in trading structured and derivative products. I/we have considered my/our financial situation and investment objectives and confirm that I/we are financially able to bear the risks and any losses arising from such transactions and voluntarily confirm that trading such investment products is a suitable trading method for me/us. 本人/我們雖沒有結構性及衍生產品之知識及經驗, 但本人/我們已仔細閱讀並瞭解風險披露聲明, 明白進行結構性及衍生產品買賣所涉及之高風險。本人/我們已考慮到本人/我們的財務狀況和投資目標, 並確認本人/我們之財政能承擔該等交易帶來之風險和承受其帶來之任何損失, 亦自願確認該等投資產品買賣是一項對本人/我們合適的買賣方式。

I/We have the knowledge and experience of structured and derivative products. I/We have carefully read and understood the risk disclosure statement and understood the high risks involved in trading structured and derivative products. I/We have considered my/our financial situation and investment objectives and confirm that I/we are financially able to bear the risks and any losses arising from such transactions and voluntarily confirm that trading such investment products is a suitable trading method for me/us. 本人/我們具有結構性及衍生產品之知識及經驗, 本人/我們亦已仔細閱讀並瞭解風險披露聲明, 明白進行結構性及衍生產品買賣所涉及之高風險。本人/我們已考慮到本人/我們的財務狀況和投資目標, 並確認本人/我們之財政能承擔該等交易帶來之風險和承受其帶來之任何損失, 亦自願確認該等投資產品買賣是一項對本人/我們合適的買賣方式。

I/We represent and warrant that the information in this Account Opening Form is true, complete and accurate and understand that Ping An Securities (Hong Kong) Co., Ltd. ("Ping An Securities (Hong Kong)") will assess whether I/we have the knowledge and experience of the relevant investment products based on the above information in order to comply with the relevant requirements of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission. I/We have read and understood the risk disclosure document on trading derivatives provided by Ping An Securities (Hong Kong). I/We have fully understood the risks associated with trading the relevant investment products before making an investment decision and are willing to bear all risks of trading the relevant investment products. Ping An Securities (Hong Kong) has the rights to rely solely on such information for all purposes unless it receives written notice of any changes. Ping An Securities (Hong Kong) has the rights to contact any person (including my/our bank, broker or any credit agency) at any time to verify the

information on this client information form.

本人 / 我們陳述及保證，客戶資料表內的資料均為真實、完整及準確，並明白平安證券(香港)有限公司(“平安證券(香港)”)將根據上述資料評估本人 / 我們是否擁有對相關投資產品之知識及經驗，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。本人 / 我們已閱讀及明白平安證券(香港)提供的有關交易衍生工具的風險披露文件。本人 / 我們作出投資決定前已充分認識交易相關投資產品所附帶的風險，並願意承擔交易相關投資產品的所有風險。平安證券(香港)有權完全依賴該等資料作一切用途，除非其收到關於任何變動的書面通知。平安證券(香港)有權隨時聯絡任何人士(包括本人 / 我們的銀行、經紀或任何信用調查機構)以核實本開戶申請表內的資料。

11. Standing Authority - Client Money 客戶款項常設授權 (For clients applying for Overseas Stock Trading Service only 只適用於申請美股及其他海外股票市場交易服務的客戶)

根據《證券及期貨(客戶款項)規則》所設立的常設授權 Standing Authority under Securities and Futures (Client Money) Rules

本授權書涵蓋貴公司為本人(i)在香港收取或持有並存放於一個或多個獨立帳戶內和(ii)在香港以外地區收取或持有並存放於一個或多個獨立帳戶內，設立維持並指定為信託帳戶或客戶帳戶內之款項(包括因持有並非屬於貴公司的款項而產生之任何利息)(下稱「款項」)。

This standing authority covers money held or received by you (i) in one or more segregated account(s) in Hong Kong and (ii) in one or more segregated account(s) outside Hong Kong, designated as trusted account(s) or client account(s) established and maintained (including any interest derived from the holding of the money which does not belong to you) on my behalf (“Monies”).

除非另有說明，本授權書之名稱與《證券及期貨條例》及《證券及期貨(客戶款項)規則》不時修訂之定義具有相同意思。

Unless otherwise defined, all 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 Money) Rules as amended from time to time.

本授權書授權貴公司 This standing authority authorizes you to :

1. 組合或合併平安證券(香港)有限公司(下稱「平安證券(香港)」)及/或其任何附屬公司及聯繫公司(統稱「平安證券(香港)」)及/或交易對手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，貴公司可將該等獨立帳戶內任何數額之款項作出轉移，以解除本人對平安證券(香港)內任何成員及/或交易對手的義務或法律責任，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 name whatsoever and either individually or jointly with others, maintained by Ping An Securities (Hong Kong) Company Limited (“Ping An Securities (Hong Kong)”) and/or any of its subsidiaries and affiliates (“Ping An Securities (Hong Kong)”) and/ or counterparty(ies) from time to time and you may transfer any sum of Monies to and between such segregated account(s) to satisfy my obligations or liabilities to any member of Ping An Securities (Hong Kong) and/ or counterparty(ies), whether such obligations and liabilities are actual, contingent, primary or collateral, secured or unsecured, or joint or several; and

2. 從平安證券(香港)任何成員及/或交易對手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 member of Ping An Securities (Hong Kong) and/ or counterparty(ies); and

3. 訂立外幣兌換合約，適用於(i)為了以客戶款項購買海外證券交易；或符合交收或保證金的要求(如適用)之用，或(ii)以支付為目的，由平安證券(香港)最終決定的轉換交易所，按平安證券(香港)絕對及酌情決定認為合適的方式，及按照其日常慣例轉換任何或所有客戶款項。

enter into foreign exchange contracts necessary (i) to facilitate the purchase, or for meeting the settlement or margin requirement (if applicable) of, the overseas securities with the Client Monies, or (ii) convert any or all of the Client Monies in such manner as Ping An Securities (Hong Kong) shall, in its absolute and sole discretion, consider fit at the time when the conversion of the Client Monies are required for the purpose of payment at the conversion exchange as conclusively determined by Ping An Securities (Hong Kong) and in accordance with Ping An Securities (Hong Kong)'s prevailing practice.

貴公司可不向本人發出通知而採取上述行動。此賦予平安證券(香港)之授權乃鑒平安證券(香港)同意繼續維持本人之證券現金帳戶及/或證券保證金帳戶。

You may do any of these things without giving me notice. This standing authority is given to Ping An Securities (Hong Kong) in consideration of its agreeing to continue to maintain securities cash and/or margin account(s) for me.

此賦予貴公司之授權並不損害平安證券(香港)可享有有關處理該等獨立帳戶內款項的其他授權或權利。

This standing authority is given without prejudice to other authorities or rights which Ping An Securities (Hong Kong) may have in relation to dealing in Monies in the segregated accounts.

本授權書由本函簽發日期起 12 個月內有效。

This authority is valid for a period of 12 months from the date of this letter.

本人可以向貴公司客戶服務部位于上述所列明之地址發出書面通知，撤回本授權書。該等通知之生效日期為貴公司真正收到該等通知後之 14 日起計。

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

本人明白貴公司若在本授權書的有效屆滿前不少於 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屆滿前反對此授權續期，本授權書應當在不需要本人的書面同意下按持續的基準已被續期。

I understand that this authority shall be deemed to be renewed on a continuing basis without my written consent, if you issue me a written reminder at least 14 days prior to the expiry date of this authority and I do not object to such deemed renewal before such expiry date.

本人明白貴公司將於此授權屆滿日期後的 1 星期內，將該授權續期的確認書發予本人。

I understand you shall issue a written confirmation of the renewal of the standing authority to me within one week after the date of expiry.

倘若本授權書的中文本與英文本在解釋或意義方面有任何歧義，本人同意應以英文本為準。

In the event of any difference in interpretation or meaning between the Chinese and English version of this authority, I agree that the English version shall prevail.

本人閱讀、明白及同意本授權書的內容。

I have read and understand and accept the contents of this letter

12. Standing Authority - Client Securities 常設授權 (For clients applying for Securities (Margin) Account only 只適用於申請證券(保證金)帳戶的客戶)

1. I/We hereby authorize Ping An Securities (Hong Kong) and each associated entity (as defined in Part 1 of Schedule 1 to the Securities and Futures Ordinance) of Ping An Securities (Hong Kong) for a period commencing from the date of me/us signing this Account Opening Form up to and including the last day of the eleventh (11th) month next after the date hereof to deal with my/our securities and securities collateral from time to time purchased or held by Ping An Securities (Hong Kong) or any associated entity on my/our behalf in one or more of the following ways without further notice to or consent from me/us.本人/我們同意並授權平安證券(香港)及其有關實體(按《證券及期貨條例》附表 1 第 1 部之有關定義)可於平安證券(香港)批准本授權當天開始直至及包括隨後十一個月份的最後一天

的期間內，以下列一種或多於一種方式處理不時由平安證券(香港)或其任何有聯繫實體代本人/我們購入或持有的證券及證券抵押品，毋須進一步通知或取得本人/我們的同意：

- to apply any of my/our securities or securities collateral to a securities borrowing and lending agreement; 依據證券借貸協議運用任何有關證券或證券抵押品；
- to deposit any of the securities collateral with an authorised financial institution as collateral for financial accommodation provided to **Ping An Securities (Hong Kong)**; 將任何有關證券抵押品存放於認可財務機構，作為提供予平安證券(香港)的財務通融抵押品；
- to deposit any of the securities collateral with any clearing house recognized under the Securities and Futures Ordinance or another intermediary licensed or registered for dealing in securities as collateral for the discharge and satisfaction of **Ping An Securities (Hong Kong)**'s settlement obligations and liabilities. 將任何有關證券抵押品存放於獲香港證券及期貨事務監察委員會認可的結算所或另一獲發牌或獲註冊進行證券交易的仲介人，作為解除平安證券(香港)在交收上的義務和清償平安證券(香港)在交收上的法律責任的抵押品

2. I/We hereby acknowledge, and confirm having been informed by **Ping An Securities (Hong Kong)**, that **Ping An Securities (Hong Kong)** has the right to repledge clients' securities and securities collateral and might repledge. 本人/我們獲悉及確認平安證券(香港)將客戶的證券及抵押品再質押的做法。
3. This standing authority does not cover any consideration, which must be set in a separate agreement between me/us and **Ping An Securities (Hong Kong)**. 本常設授權並不涵蓋平安證券(香港)借入、貸出或存放本人/我們任何證券而須支付或收取的任何代價。任何代價均須由本人/我們與平安證券(香港)另行簽約訂明。
4. I/We understand that a third party may have rights to my/our securities, which **Ping An Securities (Hong Kong)** must satisfy before my/our securities can be returned to me/us. 本人/我們的證券可能受制於第三者之權利，平安證券(香港)必須於抵償該等權利後，方將本人/我們的證券交還本人/我們。
5. This standing authority is valid for a period of up to 12 months from the date of me/us signing this Account Opening Form and may be renewed for subsequent periods of not exceeding 12 months if I/we am/are given a written notice from **Ping An Securities (Hong Kong)** at least 14 days prior to the expiry of such authority and I/we do not object to the renewal of such authority before its expiry. This standing authority may be revoked at any time by giving 30 days prior written notice to **Ping An Securities (Hong Kong)**. 本常設授權以本文件日期起計十二個月內有效，並可於下列情況予以續期，每次續期可有效十二個月：本人/我們以書面同意續期；或平安證券(香港)於該授權有效屆滿前不少於十四日向本人/我們發出書面通知，而本人/我們於該授權有效期屆滿前未有提出反對續期。本人/我們有權隨時以三十天書面通知平安證券(香港)撤銷此常設授權書。
6. I/We understand that I/we am/are not required by any law to sign this authority but it may be required by **Ping An Securities (Hong Kong)**, for example, to facilitate margin lending to me/us or to allow my/our securities or securities collateral to be lent to or deposited as collateral with third parties. I/We also understand that if I/we sign this authority and my/our securities or securities collateral are lent to or deposited with third parties, **Ping An Securities (Hong Kong)** shall remain responsible to me/us for securities or securities collateral lent or deposited under my/our authority, a default by **Ping An Securities (Hong Kong)** could result in the loss of my/our securities or securities collateral. I/We agree and confirm that **Ping An Securities (Hong Kong)** and its associated entities shall be entitled to receive and retain for their own benefit and not be accountable to me/us for any remuneration, income, rebates or other benefits resulting from any dealing with my/our securities or securities collateral. 本人/我們明白現時無任何法例規定本人/我們必須簽署此授權書；然而，平安證券(香港)可能需要此授權書，以便例如向本人/我們提供保證金貸款或獲許將有關本人/我們的證券或證券抵押品供出予第三方或作為抵押品存放於第三方，該等第三方將對本人/我們的證券或證券抵押品具有留置權或作出押記。雖然平安證券(香港)根據本人/我們的授權而借出或存放屬於本人/我們的證券或抵押品須對本人/我們負責，但平安證券(香港)的失責行為可能導致本人/我們損失本人/我們的證券或抵押品。本人/我們同意並確認平安證券(香港)及其有聯繫實體有權收取及保留任何由於處置本人/我們的證券或證券抵押品所產生的任何報酬、收入、回佣或其他利益而無須向本人/我們負責。

13. Direct marketing 直接促銷選擇意向

I/We hereby exercise my/our right of consent to and opt-out from Direct Marketing Activities as follows:- 本人/我們現行使本人/我們同意，及拒絕直接促銷活動的權利如下：

- I/We AGREE that **Ping An Securities (Hong Kong)** and/or any member of **Ping An Group** to use my/our personal data in direct marketing via mail, E-mail, SMS, fax or personal call. 本人/我們同意平安證券(香港)及/或中國平安集團及其成員使用本人/我們的個人資料透過郵寄、電郵、電話短訊、傳真或專人電話的途徑作直接促銷。
- I/We DISAGREE that **Ping An Securities (Hong Kong)** and/or any member of **Ping An Group** to use my/our personal data in direct marketing via mail, E-mail, SMS, fax or personal call. 本人/我們不同意平安證券(香港)及/或中國平安集團及其成員使用本人/我們的個人資料透過郵寄、電郵、電話短訊、傳真或專人電話的途徑作直接促銷。

14. Declarations & Acknowledgements 聲明及確認

I/We declare, acknowledge, confirm and agree that:
我們聲明、承認、確認并同意：

1. The information and representations contained in this Account Opening Form are true, complete and correct, and that **Ping An Securities (Hong Kong) Company Limited** ("**Ping An Securities (Hong Kong)**") is entitled to rely fully on such information and representations for all purposes, unless and until **Ping An Securities (Hong Kong)** receives notice in writing from us of any change. **Ping An Securities (Hong Kong)** is authorized at any time to contact anyone, including banks, or any credit agency, for purposes of verifying the information provided on this Account Opening Form. 本開戶申請表所載的資料和陳述乃真實、完整及正確，除非平安證券(香港)有限公司(「平安證券(香港)」)接獲我們發出關於任何變更的書面通知，否則平安證券(香港)有權就一切目的全面信賴該等資料及陳述。平安證券(香港)獲授權隨時聯絡任何人士，包括銀行或任何信用調查機構，以查核此開戶申請表所提供之資料。
2. I/We hereby declare that unless specifically stated otherwise, I am/we are the person(s) who is/are ultimately responsible for originating the Instructions and unless specifically stated otherwise, I am/we are the person(s) who stand(s) to gain the commercial / economic benefit of the transaction and/or bear the commercial / economic risk. 本人/我們特此聲明，除非另有明確說明，否則本人/我們是最終負責發出指示的人，而且除非另有說明，否則本人/我們是從交易取得商業/經濟利益及/或承擔其商業/經濟風險的人。
3. The Account(s) and the provision of investment advisory service by **Ping An Securities (Hong Kong)** are subject to this Account Opening Form and the Terms and Conditions of the Client Agreement as amended by **Ping An Securities (Hong Kong)** from time to time (together the "**Agreement**"). I/We confirm that I/we have read and understood the Agreement and agree to be bound by, the terms and conditions as currently set forth in the Agreement. Unless the context requires otherwise, terms and expressions used and defined in the Client Agreement shall have the same meaning when used herein. 帳戶以及平安證券(香港)提供投資管理服務，均須受本開戶申請表及平安證券(香港)不時修訂的客戶協議的條款及細則(合稱「協議書」)所約束。本人/我們確認本人/我們已閱讀和明白協議書，并

同意受協議書目前所列的條款及條件所約束。除非上下文另有規定，否則客戶協議所使用和定義的詞語在用於本開戶申請表時具有相同意義。

4. I/We will not create any charge, pledge or encumbrance over the whole or any part of the Account(s) during the term of the Agreement. 本人 / 我們在協議書的期限內不會對帳戶的整體或任何部分設置任何押記、質押或產權負擔。
5. **Ping An Securities (Hong Kong)** shall be authorized (but not obliged) to accept and act in accordance with any Instructions given by the Client or the Authorized Person(s) either in person, in writing, by telephone, facsimile (“**fax**”), the internet or any other form of telecommunications or electronic mode of communication made from time to time in accordance with Clause IV of the Client Agreement. In the event that I/we wish to withdraw the authorisation under this paragraph, I/we shall notify **Ping An Securities (Hong Kong)** in writing and until receipt of such notice of change in writing, **Ping An Securities (Hong Kong)** may rely on any fax, telephone, oral and electronic Instructions given. 平安證券 (香港)獲授權 (但無義務) 接受客戶或獲授權人不論是親身、以書面、電話、傳真、互聯網或任何其他電信方式或電子通訊方式按照客戶協議第IV條的規定不時作出的指示并根據該等指示行事。倘若本人 / 我們希望撤回根據本段作出的授權，本人 / 我們應以書面方式通知平安證券(香港)，在收到該項書面變更通知之前，平安證券(香港)可依賴任何以傳真、電話、口頭或電子方式作出的指示。
6. In consideration of **Ping An Securities (Hong Kong)** agreeing to accept Instructions from us by telephone, facsimile transmission or other electronic means, I/we agree to indemnify **Ping An Securities (Hong Kong)** 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 this Agreement, save where due to the negligence or default of **Ping An Securities (Hong Kong)**. 鑒于平安證券 (香港)同意通過電話、傳真或其他電子方式接受我們的指示，作為對價，對於平安證券 (香港)及其董事、高級職員、雇員及代理人按照本協議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 / 我們同意彌補他們，但由於平安證券 (香港)的疏忽或違約而導致的損失或責任則除外。
7. I/We have received a copy of the Client Agreement and the Risk Disclosure Statements in the language of my/our choice (English or Chinese), and I/we confirm that I have read and fully understood the Client Agreement and the Risk Disclosure Statements and have been invited to ask questions and take independent advice if I/we wish. 本人 / 我們已收到一份按本人 / 我們選擇的語言 (英文或中文) 的客戶協議及風險披露聲明，且本人 / 我們確認已閱讀及完全明白客戶協議以及風險披露聲明，并獲邀請提出問題及諮詢獨立意見 (如本人 / 我們有此意願)；
8. I/We have carefully considered the Risk Disclosure Statements and recognize that trading in investment products involves a high degree of risk. I have considered my/our financial position and investment objective, I/we confirm that I/we am/are financially able to assume such risks and to sustain any losses resulting from such trading and voluntarily confirm that trading in investment products is a suitable trading vehicle for me/us. 本人 / 我們已仔細考慮風險披露聲明，而且瞭解進行投資產品買賣所涉及之高風險。本人 / 我們已考慮到本人 / 我們的財務狀況和投資目標，并確認本人 / 我們之財政能承擔該交易帶來之風險和承受其帶來之任何損失，亦自願確認投資產品買賣是一項對本人 / 我們合適的買賣方式。
9. I/We have read and understood “the Notice to Clients Relating to the Personal Data (Privacy) Ordinance (the “**Notice**”)” in the Appendix I of the Client Agreement. I/We agree that the personal data in relation to any individual(s) provided to **Ping An Securities (Hong Kong)** may be used, disclosed and/or transferred by **Ping An Securities (Hong Kong)** for such purposes and to such persons in accordance with the Notice (as amended from time to time). 本人 / 我們已閱讀和明白《客戶協議》內之附錄一“致客戶的與《個人資料 (私隱) 條例》有關的注意事項” (「**注意事項**」)。本人 / 我們同意，提供給平安證券 (香港)的與任何個人有關的個人資料可能被平安證券 (香港)就注意事項 (按其不時修訂的版本) 所述的目的是使用，或披露及 / 或轉移給注意事項所述的人。
10. I/We have signed this Agreement on the date shown below. 本人 / 我們已在下述日期簽署本協議書。
11. Where the Account is a joint account, we declare and confirm that each Client signing this Account Opening Form (each a “**joint owner**”) may give Instructions, in respect of the Account and to deal with **Ping An Securities (Hong Kong)** as if each Client alone was the sole owner of the Account without notice to the other joint owner(s). 倘若帳戶為聯名帳戶，我們聲明和確認每名簽署這份開戶申請表的客戶 (各稱為「**聯名擁有人**」) 可就帳戶作出指示并與平安證券 (香港)進行交易，無須通知其他聯名擁有人，猶如彼為帳戶的唯一擁有人。
12. I/We acknowledge and confirm that I/we must (i) observe any possible tax consequences arising from my/our 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/we reside, am/are domiciled or am/are a citizen. 本人 / 我們知悉及確認本人 / 我們必須 (i) 遵守因本人 / 我們簽訂協議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 / 我們居住的和居籍所在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。
13. We acknowledge that **Ping An Securities (Hong Kong)** does not provide investment, tax or legal advice or recommendations. 我們確認平安證券 (香港)并不提供投資、稅務或法律意見或建議。
14. I/We acknowledge that any information contained in this Customer Information Form (‘the Form’) may be provided to a reporting financial institution for the purpose of automatic exchange of financial account information. I / We agree that (a) the information contained in this form is collected and may be kept by **Ping An Securities (Hong Kong)** for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the account holder and any reportable account(s) may be reported by the financial institution to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the account holder may be resident for tax purposes, pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112). I / We declare that the information given and statements made in this form is true and accurate. **I/ We undertake to advise Ping An Securities (Hong Kong) of any change in circumstances which affects the tax residency status of the Account Holder(s) of this form or causes the information contained herein to become incorrect, and to provide Ping An Securities (Hong Kong) with a suitably updated Account Particulars Amendment Form within 30 days of such change in circumstances.** **Ping An Securities (Hong Kong)** is authorized to contact anyone, including Customer’s banks, brokers or any credit agency, for verifying the information provided on this form. 我/我們知悉在這客戶資料表(“表格”)上上記載之資料，將有可能以作自動交換財務帳戶資料用途。我/我們知悉及同意，平安證券 (香港)可根據《稅務條例》(第 112 章)有關交換財務帳戶資料的法律條文，(a)收集本表格所載資料並可備存作自動交換財務帳戶資料用途及 (b)把該等資料和關於我/我們的資料向香港特別行政區政府稅務局申報，從而把資料轉交到我/我們的居留司法管轄區的稅務當局。我/我們確認表格中提供的信息和聲明是真實和準確的。我/我們承諾，如情況有所改變，以致影響本表格所述的個人的稅務居民身分，或引致本表格所載的資料不正確，**我/我們會通知平安證券 (香港)，並會在情況改變後 30 日內，向平安證券 (香港)提交一份已適當更新的綜合戶口資料更改書。**平安證券 (香港)有權聯繫任何人，包括客戶的銀行，經紀人或任何信用機構，以驗證本表格上提供的信息。

This Account Opening Form is prepared in both English and Chinese versions, in the event of discrepancy between the versions, the English version shall prevail. 本開戶申請表編成中、英文版本，兩種版本之間如有歧義，應以英文版為準。

Client Signature 客戶簽署確認

SIGNED, SEALED AND DELIVERED
簽署、蓋章及交付

By: _____
Signature of Individual/ Primary Account Holder 個人帳戶持有人/帳戶主要持有人簽署

By: _____
Signature of Secondary Account Holder 帳戶第二持有人簽署

Name in Block Letter:
姓名正楷:

Name in Block Letter:
姓名正楷:

Witness Signature 見證人簽署確認

in the presence of:
見證人:

By: _____
Signature of Witness 見證人簽署

Name: _____
姓名:

Occupation: _____
職業:

Date: _____
日期:

Address: _____
地址:

Declaration by Staff (For Internal Use Only) 員工聲明 (僅供內部使用)

I, _____ (in BLOCK LETTERS), a staff member of Ping An Securities (Hong Kong), declare that I have provided the Risk Disclosure Statements (in the Appendix III of the Client Agreement) in a language of English / Chinese at the client(s)'s choice, invited the above mentioned client(s) to read the Risk Disclosure Statements, to ask questions and to take independent advice if the client(s) so wishes.

我, _____ (正楷字體), 平安證券(香港)的一名員工, 聲明我已以客戶選擇的 英文 / 中文版本提供 (《客戶協議》附錄三) 的風險披露聲明, 並已邀請該名客戶閱讀風險披露聲明, 如客戶希望的話, 可提出問題和諮詢獨立意見。

文件核查列表 Document check list

1) ID/Passport for Primary Client, and where applicable, the Secondary Client.
聯名帳戶主要持有人, 及 (如適用) 聯名帳戶第二持有人的有效身份證/ 護照。

2) Proof of Address (es).
地址證明。

3) The same documents above if the Client has appointed an attorney or an Authorized Person.
如客戶已委任代理或授權人, 則提交上文所述的相同文件。

4) Where applicable, ID/Passport for the Ultimate Beneficial Owner(s) of the Account(s).
如適用, 帳戶的最終實益擁有人的身份證/護照。

Signature of Licensed Representative
持牌代表簽字

CE No.
中央編號

Date & Time
日期及時間

Approval of Account Opening 開戶審批

Inputted By:	Checked by:	Approved by:
_____	_____	_____
Name:	Name:	Name:
Division:	Division:	Division:
Date:	Date:	Date: