

# 平安証券(香港)

## Cash / Margin Account Opening Form

### 開戶申請表

### (Corporate Account)

### ( 公司賬戶 )

**FOR OFFICE USE ONLY**

A/C No :

Client (A/C) Name:

A/C Opening Date :

**Cash/ Margin Account Opening Form - Corporate Account****開戶申請表 - 公司賬戶****1. Type of Account (Please "√" as appropriate) 賬戶類別 (如適用請加 "√")** Securities (Cash) Account  
證券 (現金) 賬戶 Securities (Margin) Account  
證券 (保證金) 賬戶

Please open the above account for us, we hereby confirm that we have read and understood the contents of the relevant Agreement(s) and the Risk Disclosure Statements and that we accept to be bound by the same.

請替我/我們開立以上的賬戶，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。

**2. Company Information 公司資料**

Name of Company (English/Chinese) 公司名稱 (英文 / 中文)

Account Name (if different from "Company Name") 賬戶名稱 (如有別於公司名稱)

Business Registration No.  
商業登記號碼Date and Country of Incorporation  
註冊日期和國家Nature of Business  
業務性質Certificate of Incorporation No.  
註冊成立證書號碼Address of Registered Office in Country of Incorporation  
在成立國家之註冊地址Business Address in Hong Kong (if different from Registered Office Address)  
香港的辦事處地址 (如有別於註冊地址)Business Phone No.  
公司電話Phone No. of Contact Person  
聯絡人電話Email Address  
電郵地址Facsimile No.  
傳真號碼

Correspondence Address 通訊地址

 Business Address 辦事處地址 Registered Office Address 註冊地址 Email Address 電郵地址 Other (please specify) 其他 (請注明)

Would you like to apply for the Internet Trading Service? 閣下需要申請互聯網交易服務嗎?

 Yes 需要 No 不需要**3. Directors' Particulars 董事資料詳情**Name(s) of Director  
董事姓名

ID No./Passport No./Country of issue 身份證/護照號碼/簽發國家

Address  
地址Date of Appointment  
委任日期

**4. Particulars of Shareholder(s) holding 25% or more 持有 25% 或以上股份的股東的詳情**

Name(s) of Shareholder 股東姓名	ID No./Passport No. /Country of issue 身份證 / 護照號碼 / 簽發國家	Address 地址	% of Shareholding 所持股份%

**5. Disclosure of Identity 相關身份披露**

Is any of the above-mentioned shareholders/directors of the Client, the Client's authorized persons, the person ultimately responsible for giving Instructions for the Account(s) or the ultimate beneficial owner(s) of the Account(s) (in each case, a "Relevant Person"), a director, an employee or representative of any intermediary under the Securities and Futures Ordinance? 客戶上述的任何股東 / 董事、客戶的獲授權人、最終負責就賬戶發出指示的人士或賬戶的最終實益擁有人 (在每一情況下，稱為「相關人士」) 是否為《證券及期貨事務條例》之下任何中介人的董事、雇員或代表?

No       Yes\*, please provide the name of the Relevant Person \_\_\_\_\_

Name of the intermediary \_\_\_\_\_ Position held at intermediary: \_\_\_\_\_

否       是\*, 請列出相關人士的姓名 \_\_\_\_\_

中介人名稱 \_\_\_\_\_ 在中介人處擔任的職位 \_\_\_\_\_

\* Please attach a consent letter of account opening from the licensed corporation 請附上該持牌機構發出之開戶同意書

Are any of the above-mentioned shareholders/directors of the Client, the Client's authorized persons, the person ultimately responsible for giving Instructions for the Account(s) or the ultimate beneficial owner(s) of the Account(s), a relative of any employee of Ping An Securities (Hong Kong) Company Limited or its group company? 客戶上述的任何股東 / 董事、客戶的獲授權人、最終負責就賬戶發出指示的人士或賬戶的最終實益擁有人是否與平安證券(香港)有限公司之任何職員有親屬關係?

No  Yes, please provide the name of the employee and relationship with the employee \_\_\_\_\_

否  是, 請列出該職員姓名及與此人之關係 \_\_\_\_\_

**6. Ultimate Beneficial Owner(s) of the Account(s) 賬戶的最終實利益擁有人**

Name(s) 姓名	ID No./Passport No. /Country of issue 身份證 / 護照號碼 / 簽發國家	Address 地址	Occupation 職業	Relationship between the Client and the ultimate beneficial owner(s) 客戶與最終實益擁有人之關係

**7. Particulars of the Company's Other Accounts and Related Accounts with Ping An Securities (Hong Kong) 公司開立的其他賬戶及相關賬戶的資料**

(including accounts opened by person connected with the Company (including, without limitation, director, shareholder (who, either alone or jointly with his/her spouse) is in control of 35% or more of the voting rights of us) and/or members of the same group of companies)

(包括公司關聯人士所開立的賬戶(包括但不限于董事、單獨或是與其配偶合計控制我們和/或同一集團公司成員 35%或以上投票權的股東)

Please confirm if:

請確認以下信息：

- the Company is a member of the same group of companies as another client of **Ping An Securities (Hong Kong)**

公司是平安證券(香港)另一集團公司客戶的成員

If yes, please provide the following details:

如果是，請提供以下詳細信息：

Name of Account & Relationship 戶名及關係	Account No. 賬號	Account Type 賬戶類型
_____	_____	_____
_____	_____	_____

- the Company is in control of 35% or more of the voting rights of another client of **Ping An Securities (Hong Kong)**

公司控制平安證券(香港)另一客戶 35%或以上的投票權

If yes, please provide the following details:

如果是，請提供以下詳細信息：

Name of Account & Relationship 戶名及關係	Account No. 賬號	Account Type 賬戶類型
_____	_____	_____
_____	_____	_____

- there is any account opened by person connected with the Company or its group companies (including, without limitation, director and shareholder) who, either alone or jointly with his/her spouse, is in control of 35% or more of the voting rights of another client of **Ping An Securities (Hong Kong)**

公司或其集團公司的關聯人士開立了任何賬戶，關聯人士包括但不限于董事、及單獨或是與其配偶合計控制平安證券(香港) 另一客戶 35%或以上投票權的股東

If yes, please provide the following details:

如果是，請提供以下詳細信息：

Name of Account & Relationship 戶名及關係	Account No. 賬號	Account Type 賬戶類型
_____	_____	_____
_____	_____	_____

**8. Company's Financial Background 公司的財務狀況**

Authorized Share Capital (in HK\$) 法定資本 (以港幣計算)	_____ shares of Authorized 法定股份；HK\$ 港幣 / each share 每股
Paid-up Capital (in HK\$) 繳足資本 (以港幣計算)	_____ shares of Outstanding 已發行股份；HK\$ 港幣 / each share 每股
Current Income (Est.) 現時收入(估計)	HK\$
Total Assets (Est.) 總資產(估計)	HK\$
Total Liabilities (Est.) 總負債(估計)	HK\$
Net Worth (Est.) 淨值(估計)	HK\$

Any Latest Financial Accounts Record provided? 有否提供最近的財務賬目記錄?

Yes 有                       No 沒有

## 9. Investment Profile 投資取向

### Investment Objective 投資目標

- Capital Preservation (Low Risk / Low Return) 保本 (低風險 / 低回報)
- Controlled Growth (Moderate Risk / Moderate Return) 受控增長 (中等風險 / 中等回報)
- Speculative/Short Term (High Risk / High Return) 投機 / 短綫 (高風險 / 高回報)
- Combination of Moderate to High Risk 中等至高風險混合
- Others (Please specify) 其他 (請闡明) \_\_\_\_\_

### Investment Experience 投資經驗

- Certificate of Deposit/ Bonds 存款證 / 債券  No 沒有 /  Yes 有 \_\_\_ years 年 approx. value 價值約 HK\$ \_\_\_\_\_ 港元
- Forex/ Foreign Currency 外匯 / 外幣  No 沒有 /  Yes 有 \_\_\_ years 年 approx. value 價值約 HK\$ \_\_\_\_\_ 港元
- Securities Trading 證券交易  No 沒有 /  Yes 有 \_\_\_ years 年 approx. value 價值約 HK\$ \_\_\_\_\_ 港元
- Derivatives Trading 衍生工具交易  No 沒有 /  Yes 有 \_\_\_ years 年 approx. value 價值約 HK\$ \_\_\_\_\_ 港元
- Real Estate/Property Investment 房地產 / 物業投資  No 沒有 /  Yes 有 \_\_\_ years 年 approx. value 價值約 HK\$ \_\_\_\_\_ 港元

### Restriction on Investment Instrument 投資工具限制

Please tick "✓" the appropriate box(es) below if you **DO NOT** want to invest in any of the investment instruments below.

如 **不欲** 投資在下列任何投資工具上，請在適當方格內加上“✓”號

- Stocks (Main Board) 主板股票  Stocks (GEM) 創業板股票  Foreign Stocks 外國股票
- Options 期權  Futures 期貨  Warrants 認股證
- Mutual Funds/ Unit Trusts 互惠基金/單位信託基金  Fixed Income 定息投資工具  Others 其他 \_\_\_\_\_

### Other Investment Restriction 其他投資限制

- No  Yes (if Yes, please specify \_\_\_\_\_)
- 沒有  有 (如有，請闡明 \_\_\_\_\_)

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

- Risk Averse** – Not willing to accept any capital loss. Seeking an income yield on deposits and other capital protected investments.  
不願意承受風險型 – 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。
- Conservative** – 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.  
保守型 – 風險承受度低，但願意接受輕微的價格波動，以取得比較僅從保本政策中取得的預期回報為佳的回報。
- Balance** – 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.  
均衡增長型 – 風險承受度中等，並願意為取得較高回報而接受一些投資風險。在資本增值、收入及保本之間尋求達至平衡。可以接受價格波動，在中等資本增值下取得穩健回報。
- Aggressive** – Seeking high growth for wealth accumulation and willing to accept substantial price volatility for investments.  
進取型 – 為財富增值尋求高增長，並願意接受投資的大幅價格波動。

10. Settlement Method And Details 結算方式及詳情			
<p><b>(a) Settlement Method and Details (Appropriate box will be marked with ✓)</b> 結算方式及詳情 (請在合適空格中填上✓ 號)</p> <p><input type="checkbox"/> Safe Keeping With Us 由本公司保管</p> <p><input type="checkbox"/> CCASS Investor Account No: 中央結算投資賬戶號碼: _____</p> <p><input type="checkbox"/> Funds Paid To/From (Bank): 付款予/自 (銀行)</p> <p style="text-align: right;"><input type="checkbox"/> Securities Delivered To/From (Settlement Agent): 證券送付/自 (結算代理)</p>			
<p><b>(b) Bank (branch) / Settlement Agent Details</b> 銀行 (分行) / 結算代理賬戶資料</p> <p>Bank's (branch) / Settlement Agent's Name: 銀行 (分行) / 結算代理名稱 _____</p> <p>Account Name: 賬戶名稱 _____</p> <p>Account No: 賬戶號碼: _____</p>			
<p><b>(c) Please send trade confirmations to following address (if applicable) :</b> 請把成交確認單據發送到以下地址 (如適用) :</p> <p><input type="checkbox"/> By mail to Correspondence Address      <input type="checkbox"/> By mail to Email Address 發送到營業地址                                      發送到電郵地址</p> <p><input type="checkbox"/> C.c. Address &amp; Attention 抄送地址及收件人 _____</p>			
11. Name of Process Agent (Only for companies not incorporated in Hong Kong)			
法律程序文件代理人姓名/名稱 ( 僅適用於不在香港註冊成立的公司 )			
<b>Individual 個人</b>			
<b>Name of Process Agent 法律程序文件代理人姓名/名稱</b>			
<input type="checkbox"/> Mr. 先生 <input type="checkbox"/> Mrs. 太太	English Name 英文姓名	Surname 姓	Given Name 名
<input type="checkbox"/> Miss 小姐 <input type="checkbox"/> Ms. 女士			Chinese Name 中文姓名
ID No./Passport No. 香港身份證號碼 / 護照號碼		Date of Birth 出生日期	
Residential Address 住宅地址			
Residential Telephone No. 住宅電話號碼		Residential Fax No. 住宅傳真號碼	
Office Address 辦事處地址			
Office Telephone No. 辦事處電話號碼	Office Fax No. 辦事處傳真號碼	Mobile Phone No. 手提電話號碼	
<b>Company 公司</b>			
Name of Company 公司名稱		Date of Incorporation 註冊成立日期	
Registered Office Address 註冊辦事處地址			
Business Address 營業地址			

Correspondence Address (if different from above)通訊地址 (如與上述不同)

Office Telephone No. 辦事處電話號碼	Office Fax No. 辦事處傳真號碼	Office Telex No. 辦事處電傳號碼
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**12. Supporting Documents 證明文件**

We enclose certified true copies of each of the following documents in support of this application:  
吾等現隨附下列每份文件經核證的真實副本，以支持開戶申請：

1)  Certificate of Incorporation       Business Registration Certificate       Particulars of all the Directors\*  
    公司註冊證書                      商業登記證書                      所有董事詳情\*

Particulars of all the Shareholders       Memorandum & Articles of Association       Most recent audited report and accounts  
    所有股東詳情                      組織章程大綱及章程細則                      最近經審計報告及賬目

Directors' minutes authorizing the opening of an Account with Ping An Securities (Hong Kong) and the appointment of authorized corporate officers to give Instructions in relation to the Account 授權在平安證券(香港)開立賬戶及委任獲授權的公司高級職員就賬戶給予指示的董事會會議紀錄

\*If you are a Hong Kong Company please provide certified true copies of Form D1 and/or Form D2.  
如貴方為一家香港公司，請提供 D1 表格及/或 D2 表格經核證的真實副本。

2)  HKID/Passport of all the Directors.所有董事的香港身份證 / 護照。  
3)  HKID/Passport of all the Shareholders.所有股東的香港身份證 / 護照。  
4)  HKID/Passport of all the Authorized Corporate Officer(s).所有獲授權的公司高級職員的香港身份證 / 護照。  
5)  HKID/Passport of the Process Agent if he/she is a Hong Kong Resident.如其為香港居民，法律程序文件代理人的香港身份證 / 護照。  
6)  Documents stated in item (1)(a) – (e) of the Process Agent if it is a Hong Kong incorporated company and Directors' minutes accepting the appointment as a process agent.如法律程序文件代理人為一家香港註冊公司，則提交第(1)(a) – (e)項所列的文件，以及接受其獲委任為法律程序文件代理人的董事會會議紀錄。

**13. Declarations & Acknowledgements 聲明及確認**

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. We hereby declare that unless specifically stated otherwise, we are the person(s) who is/are ultimately responsible for originating the Instructions and unless specifically stated otherwise, we are the person(s) who stand(s) to gain the commercial / economic benefit of the transaction and/or bear the commercial /economic risk.  
我們特此聲明，除非另有明確說明，否則我們是最終負責發出指示的人，而且除非另有說明，否則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”). We confirm that 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.  
賬戶以及平安證券(香港)提供投資管理服務，均須受本開戶申請表并受平安證券(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。我們確認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于本開戶申請表時具有相同意義。

4. We have full power and authority to enter into the Agreement and that this Agreement has been duly authorized, executed and delivered by us, constitutes our legal, valid and binding obligation and does not violate the terms of any constitutional documents and agreements to which we are subject.

我們擁有簽訂協議書的全部權力和授權，而本協議書已由我們正式認可、簽訂和交付，構成我們的合法、有效和具約束力的義務，且沒有違反我們受之約束的任何組織性文件和協議。

5. 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.

我們在協議書的期限內不會對賬戶的整體或任何部分設置任何押記、質押或產權負擔。

6. By signing this Account Opening Form, we hereby authorize Ping An Securities (Hong Kong) to accept Instructions from us or the authorised person(s) as set out in the Schedule (“**Authorized Person(s)**”), acting singly but the Ping An Securities (Hong Kong) may, in its sole discretion, insist that it will act only on the Instruction of the account holder to operate the Account(s). Authorized Person(s) has/have full authority to enter into the Agreement on our behalf, and that the we shall indemnify and hold harmless Ping An Securities (Hong Kong) from all loss arising out of or in connection with the Agreement in the event of any breach of this warranty.

通過簽署本開戶申請表，我們特此授權平安證券(香港)從我們或從附錄列明的獲授權人(「**獲授權人**」)接受指示，獲授權人可單獨行事，但平安證券(香港)可按其全權酌情決定堅持僅按賬戶持有人的指示行事以操作賬戶。獲授權人擁有全部授權代表我們簽署協議書，如本保證被違反致使平安證券(香港)因協議書招致損失或遭受與協議書有關的損失，我們應彌償平安證券(香港)並使其不受損害。

7. Any of the Authorized Person(s) is/are hereby authorized to act on our behalf in respect of all matters relating to the Agreement and the Account(s) and to give Ping An Securities (Hong Kong) directions, Instructions of whatever nature relating to the Account(s), specifically but without limitation to the foregoing:

任何上述之獲授權人特此獲得授權就協議書和賬戶的所有事宜代表我們行事，并就賬戶向平安證券(香港)作出任何性質的指令、指示，具體地包括但不限於下列各項：

- to give instructions to Ping An Securities (Hong Kong) to buy, sell and otherwise through Ping An Securities (Hong Kong) deal in Securities or otherwise; 向平安證券(香港)作出指示，通過平安證券(香港)以進行證券或其他投資產品買賣及交易；
- to receive on our behalf any demands, notices, confirmations, reports, statements of accounts and communications of every kind; 代表我們收取各種要求書、通知、確認書、報告、賬戶結單和通訊；
- to receive on our behalf of money, Securities and property of every kind, and to dispose of the same; 代表我們收取和變賣款項、股票和任何財物；
- to make on our behalf any agreement relating to any of the foregoing matters and to terminate or modify same or waive any of the provisions thereof; and 代表我們就上述任何事宜作出任何協議，終止或修改該協議或免除其任何條款；及
- generally to deal with Ping An Securities (Hong Kong) on our behalf; 代表我們一般地與平安證券(香港)進行交易；

8. Any Instructions given or purported to be given to Ping An Securities (Hong Kong) by the Authorized Person(s) shall at all times be binding on us regardless of whether any such person giving Instructions has our actual authority to do so at the time of such Instructions. We hereby agree to ratify at any time all acts and deeds, directions, orders or Instructions given by any or all of the Authorized Person(s) and acknowledge that the same shall at all times be binding on us.

獲授權人給予或看來是由獲授權人給予平安證券(香港)的任何指示，在任何時候都對我們具約束力，不論給予指示的人在給予該指示時是否獲得我們的實際授權這樣做。我們特此同意在任何時候追認任何或所有獲授權人作出的所有行為和作為、給予的指令、命令或指示，并確認該等行為和作為、指令、命令或指示在任何時候均對我們具約束力。

9. Ping An Securities (Hong Kong) shall be authorised (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 we wish to withdraw the authorisation under this paragraph, 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。倘若我們希望撤回根據本段作出的授權，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。

10. In consideration of Ping An Securities (Hong Kong) agreeing to accept Instructions from us by telephone, facsimile transmission or other electronic means, we agree to indemnify 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)的董事、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，我們同意彌補他們，但由于平安證券(香港)的疏忽或違約而導致的損失或責任則除外。

11. We have received a copy of the Client Agreement and the Risk Disclosure Statements in the language of our choice (English or Chinese), and we confirm that we 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 we wish.

我們已收到一份按我們選擇的語言(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(如我們有此意願)；

12. We have carefully considered the Risk Disclosure Statements, and we recognize that trading in investment products involves a high degree of risk. We have considered our financial position and investment objective(s) and we confirm that we are financially able to assume such risks and to sustain any losses resulting from such trading and voluntarily confirm that trading in Securities is a suitable trading vehicle for us.

我們已仔細考慮風險披露聲明，而且我們瞭解進行投資產品買賣所涉及之高风险。我們已考慮到我們的財務狀況和投資目標，并確認我們之財能承

擔該交易帶來之風險和承受其帶來之任何損失，亦自願確認證券買賣是一項對我們合適的買賣方式。

13. We acknowledge and confirm that we must (i) observe any possible tax consequences arising from 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 we are incorporated.

我們知悉及確認我們必須 (i) 遵守因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，包括根據我們注册成立所在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。

14. 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。

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。

#### 14. Standing Authority 常設授權 (For clients applying for Securities (Margin) Account only)

1. 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 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 our securities and securities collateral from time to time purchased or held by Ping An Securities (Hong Kong) or any associated entity on our behalf in one or more of the following

ways without further notice to or consent from us. 本人/我們同意并授權平安證券(香港)及其有聯繫實體(按《證券及期貨條例》附表1第1部之有關定義)可于平安證券(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，以下列一種或多于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，毋須進一步通知本人/我們的同意：

- to apply any of 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于認可財務機構，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; and 將任何有關證券抵押品存放于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中介人，作為解除平安證券(香港)在交收上的義務各清償平安證券(香港)在交收上的法律責任的抵押品；及
  - to treat and deal with the securities and securities collateral in such manner as you consider appropriate taking into account any applicable legal or regulatory requirement from time to time. 於顧及任何適用的法律或監管要求的情況下，以平安證券(香港)認為適當的方式對待及處理有關證券及證券抵押品。
2. We hereby acknowledge, and confirm having been informed by Ping An Securities (Hong Kong), that Ping An Securities (Hong Kong) has the practice of repledging clients' securities and securities collateral.  
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 us and Ping An Securities (Hong Kong). 本常設授權并不涵蓋平安證券(香港)借入、貸出或存放本人/吾等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/吾等與平安證券(香港)另行簽約訂明。
4. We understand that a third party may have rights to our securities, which Ping An Securities (Hong Kong) must satisfy before our securities can be returned to us. 本人/吾等的證券可能受制于第三者之權利，平安證券(香港)必須于抵償該等權利後，方將本人/吾等的證券交還本人/吾等。
5. This standing authority is valid for a period of up to 12 months from the date of us signing this Account Opening Form and may be renewed for subsequent periods of not exceeding 12 months if We are given a written notice from Ping An Securities (Hong Kong) at least 14 days prior to the expiry of such authority and we do not object to the renewal of such authority before its expiry. This standing authority may be revoked at any time on 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，并可于下列情況予以續期，每次續期可有效十二個月：本人/吾等以書面同意續期；或平安證券(香港)于該授權有效屆滿前不少於十四日向本人/吾等發出書面通知，而本人/吾等于該授權有效期屆滿前未有提出反對續期。本人/吾等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. We understand that we 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 us or to allow our securities or securities collateral to be lent to or deposited as collateral with third parties. We also understand that if we sign this authority and our securities or securities collateral are lent to or deposited with third parties, Ping An Securities (Hong Kong) shall remain responsible to us for securities or securities collateral lent or deposited under our authority, a default by Ping An Securities (Hong Kong) could result in the loss of our securities or securities collateral. 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 us for any remuneration, income, rebates or other benefits resulting from any dealing with 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于第三方，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我本人/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/我們同意并確認平安證券(香港)及其有關聯繫實體有權收取及保留任何由于處置本人/我們的證券或證券抵押品所產生的任何報酬、收入、回傭或其他利益而無須向本人/我們負責。

#### 15. Authorisation 授權

Any one of the following persons (“Trading Representatives”) is authorised to give you instruction on trading:-

下列之一名人士(「交易代表」)已獲授權向貴公司發出關於交易的指示：—

Name(s) 姓名	ID No./Passport No. /Country of issue 身份證號碼/護照號碼/簽發國家	Title 職銜	Contact Telephone Number 聯絡電話號碼

The following Trading Representative is authorised to transact online. This person will be issued with the passwords and he/she will be the only Trading Representative to hold passwords, to transact online, and request changes in passwords. (Applicable to Online Services only):-

下列交易代表已授權在網上進行交易。該人士將會獲發密碼，并且是唯一可以持有該密碼、進行網上交易要求變更密碼的交易代表（僅適用於網上服務）：

Name(s) 姓名	ID No./Passport No. /Country of issue 身份證號碼/護照號碼/簽發國家	Title 職銜	Contact Telephone Number 聯絡電話號碼

In addition to the above, the following person(s) (“Authorised Persons”) is/are authorised to give you instructions in relation to the Account:-

此外，下列之人士(「獲授權人士」)已獲授權就該賬戶向貴公司發出運作賬戶的指示：—

Any one signs singly 任何一人簽署

Any two sign jointly 任何二人聯同簽署

Name(s) 姓名	ID No./Passport No. /Country of issue 身份證號碼/護照號碼/簽發國家	Title 職銜	Contact Telephone Number 聯絡電話號碼

We have obtained permission from the Trading Representatives and the Authorised Persons to give you a photocopy of their documents of identity for verification of their identity and administrative purposes.

本公司已獲交易代表及獲授權人同意，向貴公司提供身份證明文件影印本作為核實身份及行政用途。

The Authorised Persons may from time to time in writing notify you of amendments to the list of Trading Representative and Authorised Persons, the address for communications, or the Account details set out in this Agreement, and this Agreement shall be deemed to have been amended accordingly on receipt by you of such notice, without prejudice to your duties, rights and powers arising before that time.

獲授權人可不時以書面形式通知貴公司修改交易代表及獲授權人之名單、通訊地址或在本協議書內開列的該賬戶資料。一旦貴公司收到此通知，則本協議書應該被當為已依此作出修改，但此等修改不妨礙貴公司先前的責任、權利及權力。

I/We agree to the use of my personal data for the service specified in your company's Personal data (Privacy) Ordinance and/or transfer of my personal data to Ping An Insurance (Group) Company of China and their group companies for acquiring the related customer rewards, due diligence or data analysis.

本人/我們同意本人/我們的個人資料被用作貴公司個人資料（私隱）條例之通告中所指的服務，及/或轉移至中國平安保險(集團)股份有限公司，及/或它的任何集團公司用于享受集团关联公司的客户礼遇、盡職調查或数据统计。

**Client Signature 客戶簽署確認**

**SIGNED, SEALED AND DELIVERED**

簽署、蓋章及交付

\_\_\_\_\_

\_\_\_\_\_

Date 日期

**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 clause 1 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（客戶協議第一章）的風險披露聲明，并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。

\_\_\_\_\_  
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: