



远源證券有限公司

Theia Securities Limited

SFC Licensed Corporation 證監會持牌法團 (CE# 中央編號: BJW079)

Suite 5103, 51/F, Central Plaza, 18 Harbour Road, Hong Kong

香港灣仔港灣道 18 號中環廣場 51 樓 5103 室

Tel 電話: (852) 3168 0320 Fax 傳真: (852) 3168 0330 Email 電郵: cs@theiasec.com

ACCOUNT OPENING FORM (CORPORATE ACCOUNT)

開戶表 (公司賬戶)

Account Type 賬戶類別:	<input checked="" type="checkbox"/> Cash Account 現金賬戶	<input type="checkbox"/> Margin Account 保證金賬戶
Electronic Trading Services (Internet Channel) 電子交易服務 (互聯網):	<input checked="" type="checkbox"/> YES 是	<input type="checkbox"/> NO 否

1. CORPORATE INFORMATION 公司資料

Client Name: (English 英文) \_\_\_\_\_  
 客戶名稱: (Chinese 中文) \_\_\_\_\_  
 Account Name (if different) 賬戶名稱 (如與上述不同): \_\_\_\_\_  
 Nature of entity  Listed Company 上市公司  Unlisted Company 非上市公司  Partnership 合夥經營  
 組織類別  Sole Proprietorship 獨資經營  Others 其他: \_\_\_\_\_  
 Business Registration No. 商業登記證號碼: \_\_\_\_\_ Certificate of Incorporation No. 公司註冊證書號碼: \_\_\_\_\_  
 Country of Incorporation 成立國家: \_\_\_\_\_ Date of Incorporation 成立日期: \_\_\_\_\_ dd日/ \_\_\_\_\_ mm月/ \_\_\_\_\_ yy年  
 Tel No. 電話號碼: \_\_\_\_\_ Fax No. 傳真號碼: \_\_\_\_\_ Nature of Business 業務性質: \_\_\_\_\_  
 E-mail Address 電郵地址: \_\_\_\_\_ Contact Person 聯絡人: \_\_\_\_\_  
 Registered Address 註冊地址: \_\_\_\_\_  
 Principal Place of Business in Hong Kong (if different) 在香港之主要營業地址 (如與上述不同): \_\_\_\_\_

All combined daily statement of account and contract notes, monthly statement and correspondence to be sent to (please '✓' one only)  
 所有綜合成交單據及賬戶日結單, 月結單及通訊送交 (只可 '✓' 一項)  
 E-mail Address (Free) 電郵地址 (免費)  Registered Address (HKD50 per month) 註冊地址 (月費 50 港元)  Principal Business Address (HKD50 per month) 主要營業地址 (月費 50 港元)

Statement Language 結單語言  简体中文  繁體中文  English

Bank Account Information 銀行戶口資料

Unless otherwise instructed by client, all monies payable to client is to be credited to the following bank account

除經客戶另行指示外, 付予客戶的款項將存入下列銀行賬戶

(Bank account name must be in the name of the Client 銀行戶口名稱必需與客戶名稱相同)

Name of Bank 銀行名稱: _____	HKD 港幣	Bank Account No. 銀行戶口號碼: _____
Name of Bank 銀行名稱: _____	CNY 人民幣	Bank Account No. 銀行戶口號碼: _____

2. FINANCIAL STATUS 財務狀況

Authorized Capital 法定股本	Paid-up Capital 發行股本
Latest Annual profit (after tax) 最近的除稅後純利 Year 年份 _____	Latest Net Assets Value 最近的資產淨值 Year 年份 _____
<input type="checkbox"/> Loss 虧損 HK\$ _____ <input type="checkbox"/> < HK\$500,000 <input type="checkbox"/> HK\$500,000 – HK\$1,000,000 <input type="checkbox"/> HK\$1,000,001 – HK\$5,000,000 <input type="checkbox"/> HK\$5,000,001 – HK\$10,000,000 <input type="checkbox"/> > HK\$10,000,000	<input type="checkbox"/> < HK\$1,000,000 <input type="checkbox"/> HK\$1,000,000 – HK\$5,000,000 <input type="checkbox"/> HK\$5,000,001 – HK\$10,000,000 <input type="checkbox"/> HK\$10,000,001 – HK\$50,000,000 <input type="checkbox"/> > HK\$50,000,000



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3. INVESTMENT EXPERIENCES AND OBJECTIVES 投資經驗及目的				
<b>I. Investment Experiences 投資經驗</b>			<b>Year(s) of experiences 年資</b>	
<input type="checkbox"/> Shares 股票				
<input type="checkbox"/> Warrants/CBBC/Exchange Traded Fund 認股權證/牛熊證/交易所買賣基金				
<input type="checkbox"/> Futures/Options 期貨/期權				
<input type="checkbox"/> Bonds 債券				
<input type="checkbox"/> Others 其他 _____				
<b>II. Knowledge on derivative products 對衍生產品的認識</b>				
1. Does/Do the authorized person(s) has/have executed five or more transactions in any derivative product (whether traded on an exchange or not), within the past three years. 獲授權人有否曾在過去三年內買賣過五次或以上有關衍生產品的交易(不論是否在交易所買賣)			<input type="checkbox"/> YES 是	<input type="checkbox"/> NO 否
2. Has/Have the authorized person(s) ever undergone training or attended courses on derivative products 獲授權人過去有否曾接受過有關衍生產品的培訓或修讀相關課程			<input type="checkbox"/> YES 是	<input type="checkbox"/> NO 否
3. Does/Do the authorized person(s) has/have any work experience related to derivative products 獲授權人現時或過去有否從事與衍生產品有關的工作經驗			<input type="checkbox"/> YES 是	<input type="checkbox"/> NO 否
Name(s) of authorized person(s) for making investment decisions 負責投資決定人士之姓名				
<input type="checkbox"/> If No, I/We have read and understood the Risk Disclosure Statement - Risk of Exchange-Trade Structured Products ("Structured Products") e.g. Derivative Warrants ("Warrants"), Callable Bull/Bear Contracts ("CBBC") included in the Client Agreement. 如否, 本人/吾等已閱讀及明白包括於客戶協議中的風險披露聲明-買賣交易所買賣之結構性產品(結構性產品)(例如: 衍生權證(權證), 牛熊證)的一些相關風險				
<b>III. Investment Objectives 投資目的</b>				
<input type="checkbox"/> Capital Growth 資本增值	<input type="checkbox"/> Capital Preservation 保本	<input type="checkbox"/> Dividend Income 股息收入	<input type="checkbox"/> Hedge 對沖	<input type="checkbox"/> Speculation 投機
<b>4. PARTICULARS OF ALL DIRECTORS 所有董事資料</b>				
	Name 姓名	ID /Passport No. 身份證/護照號碼	Residential Address 居住地址	
1				
2				
3				
4				
<b>5. PARTICULARS OF SOLE PROPRIETOR / ALL PARTNER(S) / ALL ULTIMATE SHAREHOLDER(S) (NOT APPLICABLE TO LISTED COMPANY) 獨資經營者/ 所有合夥人/ 所有最終股東個人資料 (不適用於上市公司)</b>				
	Name 姓名	% owned 擁有%	Tel No. 電話號碼	Residential Address 居住地址
1		%		
2		%		
3		%		
4		%		
<b>6. AUTHORIZED PERSON(S) 授權人</b>				
Authorized Person's Name 授權人姓名	ID /Passport No. 身份證/護照號碼	Tel No. 電話號碼	Specimen Signature 簽名式樣	
Signing Instruction 簽署指示: <input type="checkbox"/> Anyone can sign singly 單簽 <input type="checkbox"/> Any two must sign jointly 任何兩人同簽 <input type="checkbox"/> Others 其他: _____				



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## 7. DISCLOSURE OF IDENTITY & RELATED ACCOUNT 披露身份及關連賬戶

i. We declare and confirm that (please '✓' as appropriate): 吾等聲明及確認如下(請於適當處'✓'):

We are the ultimate beneficial owner of the Account; or 本人/吾等乃賬戶之最終實益擁有人; 或

We are not the ultimate beneficial owner of the Account. The ultimate beneficial owner(s) is/are: 本人/吾等並非賬戶之最終實益擁有人。最終實益擁有人如下:

Name ID/Passport/C.I./BR No.

姓名: \_\_\_\_\_ 身份證/護照/公司註冊証/商業登記証號碼: \_\_\_\_\_

Address Tel. No.

地址: \_\_\_\_\_ 電話號碼: \_\_\_\_\_

ii. Are you a member or participant registered with any stock or commodities exchange or are you regulated or supervised by any government or regulatory agency? 閣下是否任何證券或期貨交易所的註冊會員或受任何政府或監管機構所規管或監督?

No  Yes Name of licensed corporation or registered institution

否 是 持牌法團或註冊機構名稱: \_\_\_\_\_

iii. Do you, the shareholder(s), director(s), partner(s), authorized person(s) or the ultimate beneficial owner(s) of the Account ("Relevant Person(s)"), have any relationship with the director(s) or employee(s) of Theia Securities Limited? 閣下作為此賬戶之股東、董事、合夥人、獲授權人或最終實益擁有人(「有關人士」)是否與遠源證券有限公司之董事或僱員有親屬關係?

No  Yes Name of the Relevant Person(s)

否 是 有關人士之姓名: \_\_\_\_\_

Name of the director(s) or employee(s)

董事或僱員之姓名: \_\_\_\_\_

Relationship:  Spouse  Parent  Sibling  Child  Others (please specify)

關係 配偶 父母親 兄弟姊妹 子女 其他(請說明): \_\_\_\_\_

iv. Are you, the shareholder(s), director(s), partner(s), authorized person(s) or the ultimate beneficial owner(s) of the Account a director or employee of Theia Securities Limited? 閣下作為此賬戶之股東、董事、合夥人、獲授權人或最終實益擁有人是否遠源證券有限公司之董事或僱員?

No  Yes Name of the director or employee

否 是 董事或僱員之姓名: \_\_\_\_\_

v. Are you and/or your company's director/shareholder control of 35% or more of the voting rights of any client of Theia Securities Limited? 閣下及/或閣下之董事/股東是否控制任何遠源證券有限公司的客戶 35%或以上的投票權?

No 否  Yes 是 Name 姓名: \_\_\_\_\_ Account No 賬戶號碼: \_\_\_\_\_

vi. Is any member of your group of companies a client of Theia Securities Limited? 閣下的公司集團內任何成員是否遠源證券有限公司之客戶?

No 否  N/A 不適用  Yes 是 Name 姓名: \_\_\_\_\_ Account No 賬戶號碼: \_\_\_\_\_

## 8. TAX RESIDENCY 稅務居民資料

### Part I 第一部: Entity Type 實體類別

Financial Institution 金融/財務機構

Custodial Institution, Depository Institution or Specified Insurance Company

託管機構、存款機構或指明保險公司

Investment Entity, except an investment entity that is managed by another financial institution (e.g. with discretion to manage the entity's assets) and located in a non-participating jurisdiction

投資實體, 但不包括由另一金融/財務機構管理(例如: 擁酌情權管理投資實體的資產並位於非參與稅務管轄區的投資實體)



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Active NFE 主動非財務實體

- NFE the stock of which is regularly traded on \_\_\_\_\_, which is an established securities market  
該非財務實體的股票經常在 \_\_\_\_\_ (一個具規模證券市場) 進行買賣
- Related entity of \_\_\_\_\_, the stock of which is regularly traded  
的有關連實體，該有關連實體的股票經常在  
on \_\_\_\_\_, which is an established securities market  
(一個具規模證券市場) 進行買賣
- NFE is a governmental entity, an international organisation (for example the United Nations or North Atlantic Treaty Organisation ("NATO")), a central bank, or an entity wholly owned by one or more of the foregoing entities  
政府實體、國際組織(例如聯合國或北大西洋公約組織「NATO」)、中央銀行或由前述的實體全權擁有的其他實體
- Active NFE other than the above (for example a start-up NFE or a non-profit NFE)  
除上述以外的主動非財務實體(例如新成立的非財務實體或非牟利的非財務實體)

Passive NFE 被動非財務實體 (Please complete Part 2 (請填寫第二部))

- Investment entity that is managed by another financial institution and located in a non-participating jurisdiction  
位於非參與稅務管轄區並由另一金融 / 財務機構管理的投資實體
- NFE that is not an Active NFE  
不屬主動非財務實體的非財務實體

Part 2 第二部: Controlling Persons (Complete this part if the entity account holder is a passive NFE) 控權人(如實體賬戶持有人是被动非財務實體，填寫此部)

Indicate the name of all controlling person(s) of the account holder in the table below. If no natural person exercises control over an entity which is a legal person, the controlling person will be the individual holding the position of senior managing official. Complete Controlling Person Tax Residency Self-Certification Form (CRS-CP (HK)) for each controlling person.

就賬戶持有人，填寫所有控權人的姓名在列表內。就法人實體，如行使控制權的並非自然人，控權人會是該法人實體的高級管理人員。每名控權人須分別填寫一份控權人稅務居民自我證明表格(CRS-CP (HK))。

(1)	(5)
(2)	(6)
(3)	(7)
(4)	(8)

Part 3 第三部: Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN"): 居留司法管轄區及稅務編號或具有等同功能的識別編號(以下簡稱「稅務編號」)

Pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance, please provide your jurisdiction of residence where the account holder(s) is a resident for tax purposes and TIN for each jurisdiction indicated. If a TIN is unavailable, provide the appropriate reason A, B or C:

根據<稅務條例>有關交換財務賬戶資料的法律條文，請提供賬戶持有人的稅務編號。如沒有提供稅務編號，必須填寫合適的理由：

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

理由 A 賬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。

Reason B: The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN if you have selected this reason.

理由 B 賬戶持有人不能取得稅務編號。如選取這一理由，解釋賬戶持有人不能取得稅務編號的原因。

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

理由 C 賬戶持有人毋須提供稅務編號。居留司法管轄區的主管機關不需要賬戶持有人披露稅務編號。

If the account holder is not a tax resident in any jurisdiction (e.g. fiscally transparent), indicate the jurisdiction in which its place of effective management is situated. 如果賬戶持有人並非任何稅務管轄區的稅務居民(例如：它是財政透明實體，填寫實際管理機構所在的稅務管轄區。)



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The Account holder is a **HONG KONG** Tax residence, the TIN is the Hong Kong Business Registration Number

賬戶持有人是**香港**稅務居民，稅務編號是其香港商業登記號碼

The Account holder is **other than HONG KONG** Tax residence 賬戶持有人是**香港以外**稅務居民

Jurisdiction of Residence 稅務管轄區	1.	2.	3.
TIN 稅務編號	1.	2.	3.
Enter Reason A,B or C if no TIN is available 沒有稅務編號理由	<input type="checkbox"/> Reason A 理由 A <input type="checkbox"/> Reason B 理由 B <input type="checkbox"/> Reason C 理由 C	<input type="checkbox"/> Reason A 理由 A <input type="checkbox"/> Reason B 理由 B <input type="checkbox"/> Reason C 理由 C	<input type="checkbox"/> Reason A 理由 A <input type="checkbox"/> Reason B 理由 B <input type="checkbox"/> Reason C 理由 C
Explanation to selected Reason B 選取理由 B 的原因			

**WARNING: It is a serious offence under the Inland Revenue Ordinance if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. Heavy penalty may apply upon conviction.**

**警告：根據《稅務條例》，如任何人在作出自我證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下，作出該項陳述，即屬嚴重罪行。一經定罪，可致重罰。**

#### DECLARATION BY CLIENT 客戶聲明

By signing this Part, We declare, acknowledge and confirm that:

倘簽署本部份，吾等即聲明、同意及確認：

- the information provided in this Account Opening Form is complete, true and accurate. I/We will notify Theia Securities Limited ("THEIA") immediately of any material changes to the above information;  
本開戶表提供的資料均為完整、真實及準確。如開戶表內的資料有任何變更，本人/吾等將會立刻知會遠源證券有限公司("遠源證券")有關的資料變更;
- any information contained in this Account Opening Form may be provide to a reporting financial institution for the purpose of automatic exchange of financial account information. We agree that (a) the information contained in this form is collected and may be kept by THEIA 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 Company 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). We undertake to advise THEIA of any change in circumstances which affects the tax residency status of the Account Holder(s) of this Account Opening Form or causes the information contained herein to become incorrect, and to provide THEIA with a suitably updated self-certification form within 30 days of such change in circumstances;  
在本開戶表上所記載之資料，將有可能以作自動交換財務賬戶資料用途。吾等知悉及同意，遠源證券可根據《稅務條例》(第 112 章)有關交換財務賬戶資料的法律條文 (a) 收集本表格所載資料並可備存作自動交換財務賬戶資料用途及 (b) 把該等資料和關於賬戶持有人及任何須申報賬戶的資料向香港特別行政區政府稅務局申報，從而把資料轉交到賬戶持有人的居留司法管轄區的稅務當局。吾等承諾，如情況有所改變，以致影響本開戶表所述的個人的稅務居民身分，或引致本開戶所載的資料不正確，本人會通知遠源證券，並會在情況發生改變後30日內，向遠源證券提交一份已適當更新的自我證明表格；
- the FATCA Self-Certification Form was provided to us and we have read, understood and confirmed, and agree to be bound by all the provisions of this form and terms set out in the appendix;  
吾等已獲提供美國海外賬戶FATCA聲明書，並已閱讀、明白和確認及同意前述之聲明書及附件一所列條款，並同意接受期約束；
- the Risk Disclosure Statements was provided to me/us in a language of the our choice (English or Chinese) and we have been invited to read the Risk Disclosure Statements, to ask questions and take independent advice if we so wished;  
吾等已獲提供風險披露聲明(英文或中文)，及已獲邀閱讀該風險披露聲明，並按其意願提出問題及徵求獨立的意見；
- the contents of the relevant and applicable parts of Terms and Conditions have been fully explained to us in a language which we understand; and  
賬戶條款之內容及條件之相關及適用部份已以吾等明白的語言向吾等作出充份解釋；及



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- We have read, understood and confirmed, and agree and accept to be bound by all the provisions of this Account Opening Form, the Client Agreement, Terms and Conditions applicable to the type of Account(s) that we applied to open with THEIA.

吾等已閱讀、明白和確認及同意本客戶資料表、客戶協議書及有關與遠源證券申請開立的有關類別賬戶之一切有關條款，並同意接受其約束。

We have read and understood the contents of the Personal Information Collection Statement of THEIA, and agree to its terms. We acknowledge receipt of a copy of the Personal Information Collection Statement.

吾等已參閱及明白遠源證券的個人資料收集聲明(「聲明」)，並且同意其條款。吾等確認已收妥該聲明的副本。

We have hereby consent to the contents of the Personal Information Collection Statement and the use of our personal data by THEIA in direct marketing and we understand that we can exercise the opt-out right by notifying THEIA in writing from time to time.

吾等謹此同意該聲明的所有內容及同意遠源證券使用吾等的個人資料作直接促銷用途，並明白吾等可以隨時以書面形式通知遠源證券以行使吾等的選擇權拒絕促銷。

We do not consent to the use of our personal data in direct marketing.

吾等不同意使用吾等的個人資料於直接促銷。

Client Signature with company chop 客戶簽名並蓋章

Name of Authorized Person :

授權人姓名: \_\_\_\_\_

Date日期: \_\_\_\_\_dd日 \_\_\_\_\_mm月 \_\_\_\_\_yy年

**IF THIS DOCUMENT IS NOT EXECUTED BY THE CLIENT(S) IN FRONT OF THEIA'S EMPLOYEE OR SUBMITTED WITH AN APPROPRIATE CHEQUE (#), BELOW SHOULD BE SIGNED BY A SUITABLE CERTIFIER<sup>1</sup> [if applicable]**

若客戶並非在遠源證券的僱員面前簽立此文件或連同適當的支票(#)一併遞交，則以下應由適合的證明人簽署 [若適用者]

The undersigned\* hereby certifies the signing of this Account Opening Form by the Client and the sighting of the related identity of the Client.

以下簽署人\* 特此核證客戶簽署本開戶表及見證客戶的有關身份證明文件。

Signed and Certified by

見證人簽名及核證:

Name of Witness

見證人姓名

Occupation /Profession

職業/所屬專業

CE No

中央編號

Contact details

Date日期 \_\_\_\_dd日 \_\_\_\_mm月 \_\_\_\_yy年 聯絡資料 \_\_\_\_\_

<sup>1</sup> \* Where this Account Opening Form is not executed by the Client(s) in front of Theia Securities Limited's employee or submitted with an appropriate cheque, this Account Opening Form must be certified by (a) any HK SFC licensed or registered person; (b) an affiliate of such person stated as (a); (c) a Justice of the Peace; or (d) a professional person such as a branch manager of a bank, a certified public accountant, a lawyer or a notary public.如本開戶表並非在遠源證券有限公司的員工面前簽名或連同適當的支票 # 一併遞交，則本開戶表必需由 (a) 任何香港證監會持牌人或註冊人士; (b) 以上(a) 之聯繫人士; (c) 太平紳士; 或(d) 專業人士例如銀行分行經理、執業會計師、律師或公證人核證其簽名。

# A crossed cheque bearing your name shown in your identity document and drawn on your account with a licensed bank in Hong Kong with your same signature(s) as shown on this Form in favour of "Theia Securities Limited" for not less than HKD10,000. Your approved new account will not be activated until the cheque is cleared.客戶在香港的持牌銀行開立的賬戶並由客戶所簽發(該簽名需與此開戶表上的客戶簽名相符)並載有客戶在其身份證明文件上所顯示的姓名的劃線支票，而該支票抬頭人需為 "遠源證券有限公司" 及其數額不得少於 10,000 港元。客戶被批核的新賬戶必需待支票兌現後才可使用。



远源證券有限公司

Theia Securities Limited

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**Risk Disclosure Statement 風險披露聲明 (to be completed by the Company 由本公司填寫)**

I/We, THEIA representative(s), hereby declare and confirm that I/we have provided the risk disclosure statement annexed hereto in a language of Client's Choice (English/Chinese); and the Client was invited to read this risk disclosure statement, to ask questions and take independent advice if the Client so wished.

本人/吾等為遠源證券的註冊職員，並謹此聲明及確認本人/吾等已按照上述客戶所選擇的語言(英文或中文) 提供附於本表的風險披露聲明；及客戶已被邀請閱讀此風險披露聲明書、提出問題及徵求獨立的意見（如客戶有此意願）。

Where a Margin Account is to be opened, the Client has also been informed that THEIA has the practice of repledging securities collateral. 如客戶欲開立之賬戶為保證金賬戶，亦已通知客戶遠源證券會再質押證券抵押品。

Signature of Licensed Person 持牌人簽名	Name of Licensed Person 持牌人姓名	CE No. 中央編號	Date (dd/mm/yy) 日期(日/月/年)	<input type="checkbox"/> Face to Face 面對面 <input type="checkbox"/> Telephone 電話	Recorded Line No 電話錄音號碼	Time 時間
_____	_____	_____	_____	_____	_____	_____

**Approved and Accepted by Theia Securities Limited**

遠源證券有限公司核准及接納

\_\_\_\_\_  
Authorized Signature 授權簽名  
Name 姓名

\_\_\_\_\_  
dd 日 mm 月 yy 年  
Date 日期

Terms and Conditions of Client Agreement 證券客戶協議書之條款及條件	Version : 版本
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## **MARGIN CLIENTS STANDING AUTHORITY 保證金客戶常設授權**

To : Theia Securities Limited 遠源證券有限公司

Re: Standing Authority - Securities and Futures Ordinance & the Securities and Futures (Client Securities) Rules (the "Rules")

根據《證券及期貨條例》及《證券及期貨（客戶證券）規則》（“規則”）規定之常設授權

This standing authority covers all securities from time to time received or held by you on my/our behalf as collateral. This standing authority authorizes you, pursuant to section 7(2) of the Rules, in your absolute discretion without further notice to me /us or to obtain my /our prior confirmation and /or direction to:

本常設授權書是有關所有由貴公司代表本人/吾等不時收取或持有作為抵押品的證券。本常設授權書授權貴公司根據規則第 7(2) 條，在無須知本人/吾等或取得本人/吾等的確認或指示的情況下，貴公司可行使絕對酌情權處理：

1. apply any of the securities or securities collateral pursuant to a securities borrowing and leading agreement; or  
根據證券借貸協議運用任何有關的證券或證券抵押品；或
2. deposit any of the securities collateral with an authorized financial institution as collateral for financial accommodation provided to you; or  
將任何有關證券抵押品存放於認可財務機構，作為提供予貴公司的財務通融的抵押品；或
3. deposit any of the securities collateral with a recognized clearing house or another intermediary licensed or registered for dealing in securities as collateral for the discharge and satisfaction of your settlement obligations and liabilities.  
將任何有關證券抵押品存放於認可結算所；或另一獲發牌或獲註冊進行證券交易的中介人，作為解除貴公司在交收上的義務和清償貴公司在交收上的法律責任的抵押品。

This standing authority is valid for a period commencing from the date of your approval to this authority up to and including the last day of the eleventh(11<sup>th</sup>) month next after the date of such approval, and shall be deemed to have been renewed for subsequent periods, not exceeding 12 months at any one time, upon the same terms and conditions as specific in this standing authority either with my/our written consent or if I/We do not object to renewal, provided that you have given at least 14 days' prior written notice reminding me/us of its impending expiry. I/We shall be regarded as having given the standing authority to you.

本授權自貴公司批准當天開始直至及包括隨後第十一個月份的最後一天內有效，惟可於授權屆滿時由本人/吾等書面同意下按相同之條件續期，但每次續期不得超過 12 個月，或於該授權屆滿前 14 日，本人/吾等獲貴公司書面通知，提醒本人/吾等授權的有效期屆滿，可按先前相同的條款及條件續期，若本人/吾等沒有在該授權屆滿前反對續期，該授權將被視為已續期。

This standing authority may be revoked by me/us at any time serving on you a written notice to such effect. Such revocation shall not take effect until actual receipt by you of such written notice and shall not affect any transaction undertaken by you pursuant to this authority prior to such revocation. I/We understand that you reserve the right to cease to provide the relevant facilities to me/us if you are of the opinion that the absence of the authority make you impracticable to continue to provide the facilities.

本人/吾等可於任何時候以書面向貴公司提出撤銷此授權，唯須得到貴公司確認已收到通知，方能生效，然而在貴公司收到撤銷的書面通知之前，貴公司按本授權所達成的任何交易均不受該項撤銷所影響。本人/吾等明白倘若貴公司認為缺乏該項授權會導致閣下無法切實可行地提供財務融資服務，則貴公司可保留終止有關服務的權利。

I/We hereby acknowledge, and confirm having been informed by you, that you have the practice of repledging clients' securities and securities collateral. I/We acknowledge that if you apply any of my/our securities or securities collateral in favor of a third party, such release may be subject to first discharge of your obligations to that third party, and then can be returned to me/us.

本人/吾等知悉及確認貴公司有將客戶的證券及證券抵押品再質押的做法。本人/吾等知悉，若貴公司將本人/吾等證券抵押予第三者，該抵押品可能優先用作抵償貴公司對該第三者的欠款，該等證券才會發還貴公司退回給本人/吾等。

I/We hereby agree to indemnify, and to keep indemnified you from and against all losses, damages, interest, costs, expenses, actions, demands, claims or proceedings of whatsoever nature which you may incur, suffer and/or sustain as a consequence of any transaction undertaken in pursuance of this authority. I/We fully understand the contents of this authority and have sought, or have had the opportunity to seek independent legal advice concerning its contents and effect.

若貴公司因上述授權而可能產生，蒙受及/或承受的一切虧損、損失、利息、費用、開支、法律訴訟、付款要求、索償程序等，本人/吾等謹此同意向貴公司作出賠償，並保障貴公司免受損害。本人/吾等完全明白本授權的內容，並已經或有機會就其內容及效力尋求獨立法律意見。

Authorized Signature(s) of A/C Holder(s) (Joint Signatures are required for joint account)

客戶簽名 (聯名賬戶均須聯合簽署)

Client Name: 客戶姓名:

Account No.: 賬戶號碼:

\_\_\_\_\_ dd 日 \_\_\_\_\_ mm 月 \_\_\_\_\_ yy 年  
Date 日期





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## Checklist of Documentation for Account Opening 開戶文件核對清單

- Signed copy of Account Opening Form (Corporate Account)  
已簽署之開戶表(公司賬戶)
- Certified extract of Board Resolution (see the form overleaf)  
經認證之董事會決議摘要 (如後頁)
- Certified Copy of HKID Card or China Resident ID Card & Passport of Director(s) and authorized signatory(ies)  
經認證之董事及授權簽署人之香港身份證或國內身份證及護照副本
- Certified Copy of Register of Directors and Members  
經認證之董事名單及股東名單
- Certified Copy of Certificate of Incorporation  
經認證之公司註冊證書副本
- Certified Copy of valid Business Registration Certificate (if applicable)  
經認證之商業登記證副本(如適用)
- Certified Copy of Memorandum and Articles of Association  
經認證之組織章程大綱及細則副本
- Certified Copy of the Latest Audited Accounts  
經認證最近期之已審核年報副本
- Registered Agent's Certificate and Certificate of Good Standing from the Registrar of Companies of the country of incorporation and the certified relevant pages of the statutory book evidencing appointment of the directors (applicable to oversea company)  
其海外註冊代理人之證書及海外公司註冊官簽發的信譽證書及經認證有關的董事委任記錄 (適用於海外公司)
- Signed copy of Self-Certification Form for Foreign Account Tax Compliance Act ("FATCA")(Entity)  
已簽署之海外賬戶稅收合規法案("FATCA")的客戶聲明書【公司/機構】
- Signed copy of W-8 / W9 (if applicable)  
已簽署之W-8 / W9 (如適用)
- Signed copy of Shanghai-Hong Kong Connect and Shenzhen-Hong Kong Stock Connect Market Services Acknowledgement (if applicable)  
已簽署之滬港通及深港通服務確認書(如適用)
- Signed copy of Personal Information Collection Statement Concerning Stock Connect Northbound Trading (if applicable)  
已簽署之關於滬深港通北向交易的個人資料收集聲明(如適用)
- Risk Profiling Questionnaire  
風險評估問卷



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## **BOARD RESOLUTION 董事會決議**

We hereby certify that the following board resolutions have been passed by the Board of Directors of \_\_\_\_\_ (“the Company”) at a Meeting of the Board duly convened and held at (address) \_\_\_\_\_ on (date) \_\_\_\_\_ at which a quorum was present and acted throughout in accordance with the Articles of the Company and have been duly recorded in the Minutes Book of the Company without amendment and that the same are now in full force and effect.

本公司茲確認，下列決議案經 \_\_\_\_\_ (下稱「本公司」) 董事會於 \_\_\_\_\_ 年 \_\_\_\_\_ 月 \_\_\_\_\_ 日於 \_\_\_\_\_ 正式召開之董事局會議通過，該會議自始至終有足夠法定人數出席，按照本公司章程規定舉行並載入本公司之會議記錄冊內，而該決議案未有被修訂，並且正全面生效及有效。

“IT WAS RESOLVED 決議通過”：

- That (an) account(s) (“the Account”) be opened and maintained in the name of the Company with Theia Securities Limited (“THEIA”) for the purpose of the Company engaging THEIA’s securities trading and related services whether on margin or otherwise including but not limited to any purchases, sales, holdings and other dealings in securities as the Company may from time to time request and that the Account and all such purchases, sales, holdings and other dealings be effected and all such services by THEIA to the Company be provided subject to and in accordance with the provisions of the Account Opening Form and the applicable terms and conditions for the Account in force from time to time, as the same may be replaced, amended, added or supplemented from time to time (“Terms”);  
以本公司名義在遠源證券有限公司(「遠源證券」) 開立並操作一個或以上的賬戶(「賬戶」)，從而令公司得以使用遠源證券無論是否以保證金形式所提供的證券及有關服務，該等服務包括但不限於遠源證券於收到公司不時的請求下代其執行的任何證券的買賣、持有及其他交易，而公司的賬戶及所有該等買賣、持有及其他交易及所有遠源證券向公司提供的上述服務，並且受開戶表及適用於賬戶之不時生效之條款，包括經不時替換、修訂、增添或補充之條款(「條款」)所規限；
- That the Account Opening Form and the Terms in such form as completed and produced to the Meeting be and are hereby approved and that any one Director of the Company be and is hereby authorized to sign the same for and on behalf of the Company and to deliver the signed originals to THEIA;  
批准經填妥並於本次會議上提交之客戶資料表及條款，並授權本公司任何一位董事代表本公司簽署上述之開戶表格及條款，並將經簽署之該等文件正本送交至遠源證券；
- That THEIA be instructed to honour and comply with all directions and instructions given for or in respect of the Accounts and any other accounts of any kind whatsoever on behalf of the Company provided that such directions, if verbal, are given by any of the Authorised Persons and, if written, are signed in accordance with the signing instructions specified in the Account Opening Form;  
遠源證券獲指示遵守及執行代表公司發出的所有關乎賬戶及其他任何類別賬戶的指令和指示，如屬口述指示，該指示需由獲授權人發出，如屬書面指示，需按客戶資料表的簽署安排簽署。
- That a copy of any resolution of the Board of the Company purporting to be certified as correct by the Chairman of the Meeting shall as between THEIA and the Company be conclusive evidence of the passing of the resolution so certified.  
在遠源證券及公司之間，任何公司董事局的決議被聲稱為經董事會主席認證的副本將成為該決議已被通過的終局性證明。
- That resolutions in connection with or in respect of the Accounts, Securities Transactions and dealings with THEIA be communicated to THEIA and they shall remain in full force and effect until receipt by THEIA of a resolution or resolutions to the contrary and certified as correct by the Chairman of the Meeting.  
所有與賬戶、證券交易及與遠源證券往來有關的決議應提供予遠源證券。該等決議將維持完全有效直至遠源證券收到相反及經董事會主席認證的決議案副本。

We further certify that the names of the Authorised Persons required to operate the Account on behalf of the Company and their specimen signatures are correct and genuine. 本公司進一步證明獲授權代表公司運作「賬戶」人仕的姓名及簽名樣式均屬正確及真實。

×

×

Chairman of the Meeting Signature 會議主席簽名

Director Signature 董事簽名

Name 姓名：

Name 姓名：

Date 日期： dd 日 mm 月 yy 年

Date 日期： dd 日 mm 月 yy 年



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Client AML Risk Category Checklist 客戶反洗錢風險級別對照表 (FOR OFFICE USE ONLY - Corporate Account)			
Risk Level 風險水平	LOW 低	NORMAL 一般	HIGH 高
風險評估 Risk Assessment	<input type="checkbox"/> Financial institutions ("FI")★ 金融機構 ("FI") ★	<input type="checkbox"/> Sole proprietorships, associations, clubs, societies, co-operative and provident societies (with no PEP as the beneficial owner) 獨資企業、會社、會所、社團、合作社和供積金社團 (沒有實益擁有人為政治人物)	<input type="checkbox"/> Politically Exposed Persons ("PEPs") and their close associates/Client matches with the watch list provided by 3rd party service provider/Client is subject to adverse information on internet search/Client's origin of wealth or ownership cannot be easily verified 政治人物 ("PEPs") 及其關係密切的人/與第三方服務提供者所提供的監察名單吻合的客戶/客戶網上資料負面/客戶財富來源或擁有權不輕易核實  Refers to the account holder, major shareholders of company or organization (owning 25% or more of the equity), partners, directors, authorized signatories or senior management. 指個人、公司或機構之主要股東<擁有 25%或以上股權>、合夥人、董事、授權簽署人或高級管理層
	<input type="checkbox"/> Listed companies ★ 上市公司 ★	<input type="checkbox"/> Limited private companies★ (with no PEPs as one of the director(s), shareholder(s) or beneficial owner(s)) 私人有限公司 ★ (沒有董事、股東或實益擁有人為政治人物)	<input type="checkbox"/> Companies with director(s) or shareholder(s) or beneficial owner(s) as PEPs, whose source of wealth and funds is unclear or has a unduly complex structure 機構內有政治人物為董事、股東或實益擁有人，而他們的資產和資金來源並不清晰；有一個不恰當地複雜的架構
	<input type="checkbox"/> Government and public body ★ 政府及公共機構 ★	<input type="checkbox"/> Partnerships★ 合夥 ★	<input type="checkbox"/> Cash intensive business such as casinos, sauna, military sector, money changer and remittance agencies 現金密集型業務包括賭場、桑拿、軍事部門、兌換商和貨幣匯兌業
	<input type="checkbox"/> Solicitor's client accounts 律師的當事人帳戶	<input type="checkbox"/> Individual natural persons 獨立自然人	<input type="checkbox"/> Companies whose place of incorporation is in countries with insufficient FATF regulations after internal country risk assessment 經本公司的國家風險評估後，機構所成立的國家被界定為沒有足夠特別組織管制法規的國家
	<input type="checkbox"/> Others, Please specify 其他，請說明： _____	<input type="checkbox"/> Trust accounts★ 信託帳戶 ★	
<input type="checkbox"/> Others, Please specify 其他，請說明： _____	<input type="checkbox"/> Others, Please specify 其他，請說明： _____	<input type="checkbox"/> Others, Please specify 其他，請說明： _____	
Classification Result: 分類結果：	<input type="checkbox"/> LOW 低	<input type="checkbox"/> MEDIUM 中	<input type="checkbox"/> HIGH 高 <i>Please fill in Enhanced Customer Due Diligence Form 請填寫附加盡職調查</i>
<input type="checkbox"/> Reviewed the Anti-money laundering report. 已查閱反洗錢報告報告			
★ Regulated by Financial Action Task Force ("FATF") (www.fatf-gafi.org) or FATF equivalent jurisdiction which are internally assessed to be non-high risk. 被財務行動特別組織 ("特別組織") (www.fatf-gafi.org) 或對等司法管轄區管制，並經本公司界定為非高風險。			

Commission Rate:	Phone in	% (min) HK\$	Internet/Mobile	% (min) HK\$
Trading Limit:	HKD		Margin Loan Limit:	HKD
Annual Interest Rate (Margin):	BOCHK Prime + %			

	Account Received by	Document Checked by	Input by	Data Checked by	Approved by RA1	Approved by RA4,9
Initial						
Date						