



**東興證券(香港)有限公司**  
**DONGXING SECURITIES (HONG KONG) CO.,LTD.**

**CE NUMBER 證監會中央編號：BBY779**

**CASH/MARGIN ACCOUNT APPLICATION FORM**  
**現金/保證金帳戶開戶申請表**

**INDIVIDUAL / JOINT ACCOUNT**  
**個人/聯名帳戶**

**Address 地址** : 6805-6806A, International Commerce Centre,  
1 Austin Road West, Kowloon, Hong Kong  
香港九龍柯士甸道西 1 號環球貿易廣場 6805-6806A 室

**Telephone 電話** : 26 555 222

**Facsimile 傳真** : 26 555 002

*Office Use Only 僅供本公司填寫*

*A/C No. 賬戶號碼*

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*A/C Opening Date (dd/mm/yyyy)*

*開戶日期(年/月/日)*

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|---|--|
| <b>Type of Account 帳戶類別:</b> <input type="checkbox"/> <b>Securities Cash Account 證券現金帳戶</b> <input type="checkbox"/> <b>Securities Margin Account 證券保證金帳戶</b>   |  |
| <b>Would you like to apply for the Internet Trading Service? 閣下需要申請互聯網交易服務嗎?</b> <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否   |  |
| <b>A. PERSONAL INFORMATION 個人資料</b>   |  |
| <b>Account Holder 戶口持有人</b> <input type="checkbox"/> <b>Principal / Sole Account Holder 第一 / 獨立戶口持有人</b><br><input type="checkbox"/> <b>Joint / Secondary Account Holder 聯名 / 第二戶口持有人</b>   |  |
| <b>Title 稱銜</b> <input type="checkbox"/> Mr 先生 <input type="checkbox"/> Mrs 太太 <input type="checkbox"/> Miss 小姐 <input type="checkbox"/> Ms 女士 <input type="checkbox"/> Other 其他 _____  |  |
| <b>Full Name in English 英文姓名(全名)</b>  |  |
| <b>Full Name in Chinese (if applicable) 中文姓名 (如適用):</b>   |  |
| <b>Identity Document Type 身份證明文件類型</b> <input type="checkbox"/> Hong Kong I.D. Card 香港居民身份證 <input type="checkbox"/> PRC I.D. Card 中國內地居民身份證<br><input type="checkbox"/> Passport 護照 (Issuing Country 簽發國家 _____)<br><input type="checkbox"/> Other Document 其他文件 (_____) |  |
| <b>Identity Document Number 身份證明文件號碼</b>  |  |
| <b>Gender 性別</b> <input type="checkbox"/> Male 男 <input type="checkbox"/> Female 女  | <b>Nationality 國籍</b>                              |
| <b>Date of Birth 出生日期</b><br>(dd 日/mm 月/yyyy 年):  | <b>Place of Birth (City, Country) 出生地 (城市, 國家)</b> |
| <b>Education Level 教育程度</b> <input type="checkbox"/> Secondary or below 中學或以下 <input type="checkbox"/> Matriculation 預科<br><input type="checkbox"/> University / Professional or above 大學/專業或以上   |  |
| <b>B. CONTACT INFORMATION 聯絡資料</b>  |  |
| <b>Residential Address 住宅地址</b> _____<br>_____  |  |
| For Joint / Secondary Account Holder, is it the same as the address of the Principal/Sole Account Holder?<br>倘為聯名 / 第二戶口持有人, 地址是否與第一 / 獨立戶口持有人相同?<br><input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 (Please provide address 請提供地址 _____)                    |  |
| <b>Telephone Number 電話號碼</b>  | <b>Mobile Number 手提電話號碼</b>                        |
| <b>Fax Number 傳真號碼</b>  | <b>Email Address 電子郵箱</b>                          |
| <b>C. EMPLOYMENT INFORMATION 就業資料</b>   |  |
| <b>Employment Status 就業狀況</b> <input type="checkbox"/> Employed 受僱 <input type="checkbox"/> Self-employed 自僱 <input type="checkbox"/> Student 學生 <input type="checkbox"/> Retired 退休<br><input type="checkbox"/> Other 其他 _____   |  |
| <b>Occupation / Job Title 職業/ 職銜</b>  |  |
| <b>Name of Employer 僱主名稱</b>  |  |
| <b>Office Telephone Number 辦公室電話號碼</b>  | <b>Office Fax Number 辦公室傳真號碼</b>                   |
| <b>Office Address 辦公室地址</b>   |  |

## D. ACCOUNT INFORMATION 戶口資料

### Correspondence Address 通訊地址

Correspondence, trading confirmations and statements to be sent to the Client's:

通訊、文易確認及結單將寄往客戶的  Residential Address 住宅地址  Office Address 辦公室地址  Email Address 電子郵件

### Settlement Account 結算戶口

Unless other instructed by the Client, all monies payable to the Client are to be credited to the following bank account:

除客戶另有指示，所有應付客戶之款項將存入以下銀行戶口：

Bank Name 銀行名稱: \_\_\_\_\_ Bank Account Number 銀行戶口號碼: \_\_\_\_\_

Bank Address 銀行地址: \_\_\_\_\_

Name of the Bank Account Holder 銀行戶口持有人姓名: \_\_\_\_\_

Type of Account 戶口類別  Saving Account 儲蓄戶口  Current Account 往來戶口

## E. QUESTIONNAIRE 問卷

(In order to comply with regulatory requirements, please complete this Section E. 為遵守監管要求，請填寫此部份。)

### Financial Information 財務資料

**Estimated Annual Income (HK\$)**  Less than or equal to 少於或等於 \$200,000  \$200,001 - \$500,000  
 \$500,001 - \$1,000,000  \$1,000,001 - \$1,500,000  
**估計年薪 (以港幣計)**  \$1,500,001 - 2,000,000  \$2,000,001 or above 或以上

**Approximate Total Net Worth (HK\$)**  Less than or equal to 少於或等於 \$500,000  \$500,001 - \$1,000,000  
**淨資產約值 (以港幣計)**  \$1,000,001 - 2,000,000  \$2,000,001 - \$5,000,000  
 \$5,000,001 - \$10,000,000  \$10,000,001 or above 或以上

### Investment Objective and Experience 投資目的及經驗

#### Overall Investment Plan 整體投資計劃

Investment horizon 投資願景  Short-term 短線 (<3 months 月)  Medium-term 中線 (3-12 months 月)  Long-term 長線 (> 1 year 年)

Risk tolerance level 風險承受水平  Low risk 低風險  Medium risk 中等風險  High risk 高風險

**Investment Objective 投資目的**  Regular income 經常性收入  Capital appreciation 資本增值  
 Speculation 投機  Hedging 對沖  Others 其他 \_\_\_\_\_

#### Investment Experience 投資經驗

(Types of products the Client has previously invested (please choose one or more)) (客戶曾投資的產品類別(選擇一個或多個)):

None 無

Bonds/Certificate of Deposit 債券/存款證 \_\_\_\_\_ years 年

Unit Trusts & Mutual Funds 單位信託基金及互惠基金 \_\_\_\_\_ years 年

Stocks & Warrants 股票及認股權證 \_\_\_\_\_ years 年

Futures & Options 期貨及期權 \_\_\_\_\_ years 年

Other Derivatives 其他衍生工具 \_\_\_\_\_ years 年

Other (please specify) 其他(請註明) \_\_\_\_\_ years 年

**Knowledge of Derivative Products 對衍生產品的認識** (e.g. derivative warrants, callable bull or bear contracts, stock options, futures, whether traded on an exchange or not 例如衍生權證、牛熊證、股票期、期貨，不論是否於交易所進行交易):

I/We have **NOT** acquired knowledge of derivative products. 本人/吾等 **未有**獲得對衍生產品之認識。

I/We have knowledge of derivative products 本人/吾等 從以下途徑認識衍生產品:

From my/our relevant trading experience i.e. I/we have executed five or more transactions in derivative products (whether traded on an exchange or not) within the past three years. 從本人/吾等相關之交易經驗，即本人/吾等 於過去三年內已進行了五次或以上有關衍生產品之交易(不論是否於交易所進行交易)。

By undergoing training or attending courses that provide general knowledge of the nature and risk of derivatives (e.g. relevant online or classroom courses offered by academic institutions or financial institutions). Please specify \_\_\_\_\_

已接受有關介紹一般衍生產品之性質及風險的培訓或課程(例如由學術機構或金融機構所提供之網上課程或教室課程)。

請註明\_\_\_\_\_

From my/our current or previous work experience related to derivative products. Please specify \_\_\_\_\_

從本人/吾等 現時或過去與衍生產品有關的工作經驗。請註明\_\_\_\_\_

## F. DISCLOSURE OF IDENTITY 身份披露

**Ultimate Beneficial Owner 最終受益人** Is the Client the ultimate beneficial owner of the Account 客戶是否本戶口之最終受益人:

Yes 是

No 否 Please provide the following details of the ultimate beneficial owner of the Account. 請提供本戶口最終受益人的詳細資料如下:

Full Name 全名: \_\_\_\_\_

Hong Kong I.D. Card / Passport & issuing country 香港居民身份證 /護照及簽發國家: \_\_\_\_\_

Relationship with the account holder 與戶口持有人之關係: \_\_\_\_\_

## Related Account 相關戶口

1. Does the Client (or a relative of the Client) hold other account(s) with Dongxing Securities (HK) Co., Ltd.? 客戶(或客戶親屬)於東興證券(香港)有限公司是否持有其他東興證券帳戶?

No. 否  Yes. Please provide the following details. 是。請提供以下資料。

Account Name 戶口名稱: \_\_\_\_\_ Account Number 戶口號碼: \_\_\_\_\_

2. Is the Client a director of another client of Dongxing Securities (HK) Co., Ltd., or is in control (either alone or jointly with your spouse) of 35% or more of the voting rights of another client of Dongxing Securities (HK) Co., Ltd.? 客戶是否東興證券(香港)有限公司另一客戶之董事，或是否控制(個人或與配偶共同控制)東興證券(香港)有限公司另一客戶 35%或以上的投票權?

No. 否  Yes. Please provide the following details. 是。請提供以下資料。

Account Name 戶口名稱: \_\_\_\_\_ Account Number 戶口號碼: \_\_\_\_\_

Is the Client an employee of, or a relative of any employee/director/agent of, Dongxing Securities (HK) Co., Ltd. and/or parent company of Dongxing Securities (HK) Co., Ltd.? 客戶是否東興證券(香港)有限公司及/或其母公司之員工，或任何員工/董事/代理人之親戚?

No. 否  Yes. Please provide the following details. 是。請提供以下資料。

Name (of the employee/director/agent) (員工/董事/代理人)姓名: \_\_\_\_\_ Relationship 關係: \_\_\_\_\_

Is the Client a director, employee or shareholder (Above 5%) of any listed company? 客戶是否任何上市公司之董事、員工或股東(持有 5%或以上股份)?

No. 否  Yes. Please specify. 是。請註明。 \_\_\_\_\_

Is the Client a person licensed/registered under the Securities and Futures Ordinance, or a director, employee or representative of an intermediary licensed/registered under the Securities and Futures Ordinance?

客戶是否證券及期貨條例之下之持牌人/註冊人，或證券及期貨條例之下持牌/註冊的中介人的董事、員工或代表？

- No. 否  Yes. Please specify. 是。請註明。 \_\_\_\_\_  
**Please provide a written consent of account opening from your employer. 請提供閣下僱主的開戶書面許可。**

### G. DATA PRIVACY 資料私隱

I/We object to the use of my/our person data for direct marketing as specified in [Notice to Client of Data Privacy Policy] relating to the Personal Data (Privacy) Ordinance and to Dongxing Securities (HK) Co., Ltd. and group companies for direct marketing. 本人/吾等 反對本人/吾等 個人資料於[致客戶的個人資料（私隱）條例通知]所指明的直接促銷中使用，及由東興證券(香港)有限公司及集團公司作直接促銷。

- No. 否  Yes. 是

### H. FATCA QUESTIONNAIRE AND DECLARATION 海外帳戶稅收合規法案問卷及聲明

This section allows you to declare your identity under the Foreign Account Tax Compliance Act (“FATCA”) classification. 請於本部分根據美國《海外帳戶稅收合規法案》（「FATCA」）申報你的身份。

**Do you possess any of the following indicia of U.S. status? 你是否擁有任何一項美國身份指標？**

- |  |  |
|--|--|
| (1) U.S. citizenship/tax residency (e.g. U.S. passport/Green Card holder, U.S. taxpayer, etc.)<br>美國公民 / 繳納美國稅務的居民（如美國護照 / 綠卡持有者、美國納稅人等）                         | <input type="checkbox"/> Yes 是 / <input type="checkbox"/> No 否 |
| (2) U.S. place of birth 美國出生地  | <input type="checkbox"/> Yes 是 / <input type="checkbox"/> No 否 |
| (3) U.S. address (e.g. residential address, mailing address, P.O. box) 美國地址（如居住地址、郵寄地址）  | <input type="checkbox"/> Yes 是 / <input type="checkbox"/> No 否 |
| (4) U.S. telephone number(e.g.home, work, mobile, fax nos.) 美國電話號碼（如住宅、工作、流動、傳真號碼）   | <input type="checkbox"/> Yes 是 / <input type="checkbox"/> No 否 |
| (5) Standing instructions to pay amounts from Dongxing Securities (HK) Co., Ltd. account to an account maintained in the U.S. 從東興證券(香港)有限公司之戶口向美國之銀行戶口設置款項轉帳常設指示 | <input type="checkbox"/> Yes 是 / <input type="checkbox"/> No 否 |

#### FATCA Identity Declaration FATCA 身份聲明

#### Additional Document

- I confirm that I am a U.S. citizen and/or resident in the U.S. for tax purpose (green card holder or resident under the substantial presence test) and my U.S. Taxpayer Identification Number (U.S. TIN) is as follows:  
本人確認，本人就課稅目的而言為美國公民 / 或美國居民（綠卡持有人或根據實質居留測試被定性為居民），而本人的美國聯邦納稅人識別號碼（美國納稅人識別號碼）如下：

W-9 Form 表格

|  |  |  |   |  |  |   |  |  |  |
|--|--|--|---|--|--|---|--|--|--|
|  |  |  | - |  |  | - |  |  |  |
|--|--|--|---|--|--|---|--|--|--|

- I confirm that I am not a U.S. citizen or resident in the U.S. for tax purposes, but have indicia of U.S. status.  
本人確認，本人就課稅目的而言並非美國公民或美國居民，但有美國身份指標。

W-8BEN Form 表格

- I confirm that I am not a U.S. citizen or resident in the U.S. for tax purposes and have no indicium of U.S. status.  
本人確認，本人就課稅目的而言並非美國公民或美國居民，亦無美國身份指標。

None 無

I/We declare and confirm that the information provided in this Section H is true, accurate and complete. I/We undertake to inform Dongxing Securities (HK) Co., Ltd. within 30 calendar days if there is a change in any information which I/we have provided in this Section.

本人/吾等 在第八部份所提供的資料為真實、準確及完整的。本人同意倘若本人在本部份所提供的資料有任何變更，本人會於 30 個曆日內通知東興證券(香港)有限公司。

### I. DECLARATION AND ACKNOWLEDGEMENT 聲明及確認

**I/We declare, acknowledge, confirm and agree that: 本人/吾等 聲明、承認、確認及同意：**

1. The information and representations contained in this Cash/Margin Account Application Form are true, complete and correct, and that Dongxing Securities (Hong Kong) Company Limited (“Dongxing Securities (HK) Co., Ltd.”) is entitled to rely on such information and representations for all purposes, unless and until Dongxing Securities (HK) Co., Ltd. receives notice in writing from me/us of any change. Dongxing Securities (HK) Co., Ltd. is authorized at any time to contact any one, including banks, or any credit agency, for purposes of verifying the information provided on this Form. 本現金 / 保證金帳戶申請表所載的資料和聲明均為真實、完整和正確，除非及直至東興證券(香港)有限公司接到書面更改通知，否則東興證券(香港)有限公司有權根據此等資料及聲明作一切用途。東興證券(香港)有限公司有權隨時聯絡任何人，包括銀行、經紀或任何信貸調查機構，以求證此表格所載之內容。

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 economic benefit of the transactions and bear the economic risk. 本人/吾等 特此聲明，除非另有明確說明，否則本人/吾等 是最終負責發出指示的人，而且除非另有明確說明，否則本人/吾等 是從交易取得經濟利益及承擔其經濟風險的人。
3. The Account and the provision of all securities trading and related services by Dongxing Securities (HK) Co., Ltd. are subject to this Cash/Margin Account Application Form and the [Securities Transactions Client Agreement] (and the schedules, appendices and annexes thereto, if any), as amended by Dongxing Securities (HK) Co., Ltd. from time to time (the "**Client Agreement**"). I/We confirm that I/we have read and understood the Client Agreement and agree to be bound by, the terms and conditions as currently set forth in the Client Agreement. Unless the context requires otherwise, terms used and defined in the Client Agreement shall have the same meaning when used herein. 帳戶以及東興證券(香港)有限公司提供的證券交易及相關服務，均須受本開戶申請表及東興證券(香港)有限公司不時修訂的[證券交易客戶協議]（及其附件及附錄）（合稱「客戶協議書」）所約束。本人/吾等 確認本人/吾等 已閱讀和明白客戶協議書，並同意受客戶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，否則客戶協議書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 during the term of the Client Agreement. 本人/吾等 在客戶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. I/We have received, read and fully understood the Risk Disclosure Statements (as contained in the Client Agreement) in a language of my choice (English or Chinese), and I/we have been invited to ask questions and obtain independent advice if I/we so wish. 本人/吾等 已收到一份按本人/吾等 選擇的語言（英文或中文）的風險披露聲明（載於客戶協議書），且本人/吾等 確認已閱讀及完全明白客戶協議書以及風險披露聲明，並獲邀請提出問題及諮詢獨立意見（如本人/吾等 有此意願）；
6. I/We have carefully considered the Risk Disclosure Statements and recognize that trading in investment products involves a high degree of risk. I/We have considered my/our financial position and investment objective, I/we confirm that I am/we 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 investment vehicle for me/us. 本人/吾等 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/吾等 已考慮到本人/我們的財務狀況和投資目標，並確認本人/吾等 之財務狀況能承擔該交易帶來之風險和承受其帶來之任何損失，亦自願確認買賣投資產品是一項對本人/吾等 合適的投資方式。
7. I/We have read and understood the [Notice to Client of Data Privacy Policy] as contained in the Client Agreement. I/We agree to the terms of the [Notice to Client of Data Privacy Policy]. 本人/吾等 已閱讀和明白載於客戶協議書的[資料私隱條例致客戶的通知]。本人/吾等 同意[資料私隱條例致客戶的通知]的條款。
8. I/We confirm that the information provided in relation to "Knowledge of Derivatives" is true and complete. I/We also understand that Dongxing Securities (HK) Co., Ltd. will rely on the above information provided to assess whether I/we have acquired knowledge of derivative products in order to comply with relevant requirements of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission. 本人/吾等 確認上述有關「衍生產品的認識」之資料完全真實及完整，並明白東興證券(香港)有限公司將根據上述資料評估本人/吾等 是否擁有對衍生產品之認識，以符合證券及期貨事務監察委員會持牌人或註冊人操守準則之有關要求。
9. Where the Account is a joint account, we declare and confirm that each Account Holder signing this Account Application Form may give instructions in respect of the Account and to deal with Dongxing Securities (HK) Co., Ltd. as if each Account Holder alone was the sole Account Holder of the Account without notice to the other Account Holder. 倘若帳戶為聯名帳戶，吾等聲明和確認每名簽署這份開戶申請表的聯名擁有人均可就帳戶作出指示並與東興證券(香港)有限公司進行交易，無須通知其他聯名擁有人，猶如彼為帳戶的唯一擁有人。
10. Subject to applicable local laws, I/We hereby consent for Dongxing Securities (HK) Co., Ltd. (or any of its local or oversea subsidiaries) to disclose, report, or share my/our information with local and overseas regulators or tax authorities where necessary to establish my/our tax liability in any jurisdiction. 在不抵觸當地適用的法律的情況下，本人/吾等 特此同意東興證券(香港)有限公司（或任何其本地及海外附屬公司）可向本地及海外監管機構或稅務機構披露、呈交或提供本人/吾等 資料以確立本人/吾等 於任何司法管轄區的稅務責任。
11. Where required by local or overseas regulators or tax authorities, I/We consent and agree that Dongxing Securities (HK) Co., Ltd. (or any of its local or oversea subsidiaries) may withhold from my/our account(s) such amounts as may be required according to applicable laws, regulations and directives. 因應本地及海外監管機構或稅務機構的要求，本人/吾等 同意並准許東興證券(香港)有限公司可按適用的法律、法規和指令在本人/吾等 銀行戶口中扣留所須的相關款項。
12. I/We undertake to fully cooperate with Dongxing Securities (HK) Co., Ltd. to ensure it meets its obligations under applicable laws, regulations and directives in connection with my/our account(s). 本人/吾等 承諾會與東興證券(香港)有限公司充分合作，以確保東興證券(香港)有限公司就處理與本人/吾等 戶口相關的事宜會符合適用的法律、法規和指令。

**CLIENT SIGNATURE/SPECIMEN SIGNATURE 客戶簽署/簽字式樣**

**Signature 簽署:**

**Signature (Joint / Secondary) 簽署(聯名/ 第二戶口持有人):**

**Name in Block Letter 姓名（正楷）:**

**Name in Block Letter 姓名（正楷）:**

**Date 日期:**

**Date 日期:**

## J. STANDING AUTHORITY (FOR SECURITIES MARGIN ACCOUNT ONLY) 常設授權 (只適用於保證金證券戶口)

1. I/We hereby authorize Dongxing Securities (HK) Co., Ltd. ("**You**") and each associated entity (as defined in Part 1 of Schedule 1 to the Securities and Futures Ordinance) of Dongxing Securities (HK) Co., Ltd., for a period of twelve (12) months commencing from the date of me/us signing this Account Application Form, to deal with my/our securities and securities collateral purchased or held by Dongxing Securities (HK) Co., Ltd. or any of its associated entities, from time to time, in one or more of the following ways, without further notice to or consent from me/us:

本人/吾等 同意並授權東興證券(香港)有限公司(貴公司)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)可於東興證券(香港)有限公司自本人/吾等 簽署本開戶申請表當天開始十二個月內,不時以下列一種或多於一種方式處理由東興證券(香港)有限公司或其任何有聯繫實體代本人/吾等 購入或持有的證券及證券抵押品,而毋須進一步通知或獲得本人/吾等 的同意:

- 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本人/吾等證券或證券抵押品;
- deposit any of the securities collateral with an authorized financial institution as collateral for financial accommodation provided to You;  
將任何本人/吾等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融資抵押品;
- deposit any of my/our securities collateral with Hong Kong Securities Clearing Company Limited ("**HKSCC**") as collateral for the discharge and satisfaction of your settlement obligations and liabilities. I/We understand that HKSCC will have a first fixed charge over my/our securities to the extent of Your settlement obligations and liabilities;  
將任何本人/吾等 的證券抵押品存於香港中央結算有限公司(「中央結算」),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。本人/吾等 明白中央結算因應貴公司的責任和義務而對本人/吾等 的證券設定第一固定抵押;
- deposit any of my/our securities collateral with any other recognized clearing house, or another intermediary licensed or registered for dealing in securities, as collateral for the discharge and satisfaction of Your settlement obligations and liabilities; and  
將任何本人/吾等 的證券抵押品存於任何其他的認可結算所或任何其他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責任和義務和清償貴公司在交收上的法律責任的抵押品; 及
- apply or deposit any of my/our securities collateral in accordance with paragraphs (a), (b), (c) and (d) above if You provide financial accommodation to me/us in the course of dealing in securities and also provide financial accommodation to me/us in the course of any other regulated activity for which You are licensed or registered ("**Standing Authority**").

如貴公司在進行證券交易及貴公司獲發牌或獲註冊進行的任何其他受規管活動的過程中向本人/吾等 提供財務融資,即可按照上述第 (a)、(b)、(c) 及 (d) 段所述運用或存放任何本人/吾等 的證券抵押品(「**常設授權**」)。

2. I/We acknowledge that this Standing Authority shall not affect Your right to dispose, or to initiate a disposal by Your associated entity, of my/our securities or securities collateral in settlement of any liability owed by or on behalf of me/us to you, Your associated entity or a third party.

本人/吾等確認本授權書不影響 貴公司為解除由吾等或代本人/吾等對 貴公司、貴公司之聯繫實體 或第三方所負的法律責任,而處置或促使 貴公司的聯繫實體處置本人/吾等之證券或證券抵押品的權利。

3. I/We acknowledge and confirm that I/we have been informed by Dongxing Securities (HK) Co., Ltd., that Dongxing Securities (HK) Co., Ltd. has the practice of re-pledging clients' securities and securities collateral.

本人/吾等知悉及確認已被通知東興證券(香港)有限公司有將客戶的證券及證券抵押品再質押的做法。

4. I/We understand that a third party may have rights to my/our securities, which Dongxing Securities (HK) Co., Ltd. must satisfy before my/our securities can be returned to me/us.

本人/吾等的證券可能受制於第三者之權利,東興證券(香港)有限公司必須於抵償該等權利後,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 twelve (12) months from the date of signing this Account Application Form and may be renewed for subsequent periods of not exceeding twelve (12) months if Dongxing Securities (HK) Co., Ltd. issues me/us a written reminder at least 14 days prior to the expiry date of the relevant authority, and I/we do(es) not object to such renewal notice before such expiry date. This Standing Authority may be revoked by giving Dongxing Securities (HK) Co., Ltd. written notice to the address of Dongxing Securities (HK) Co., Ltd. specified in this Account Application Form or such other address which Dongxing Securities (HK) Co., Ltd. may notify me/us in writing for this purpose. Such notice shall take effect upon the expiry of 14 days from the date of actual receipt of such notice by Dongxing Securities (HK) Co., Ltd. 本常設授權以本開戶申請表簽署日期起計十二個月內有效,並在東興證券(香港)有限公司於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/吾等於該授權有效期屆滿前未有提出反對續期的情況下予以續期不超過十二個月。本人/吾等可以向東興證券(香港)有限公司列明於開戶表格內的公司地址或該等東興證券(香港)有限公司為此目的可能以書面方式通知的其它地址,發出書面通知以撤回常設授權。該等通知之生效日期為東興證券(香港)有限公司實際收到該等通知後之十四日起計。

6. This Standing Authority is given to You in consideration of Your agreeing to continue to maintain the Securities Margin Account(s) for me/us. 此賦予貴公司之授權乃鑑於貴公司同意繼續維持本人/吾等之證券保證金戶口。

7. This Standing Authority has been explained to me/us and I/we understand and agree with the contents of this Standing Authority.

本人/吾等 已獲解釋本常設授權的內容,本人/吾等 並理解本常設授權的內容。

### CLIENT SIGNATURE / SPECIMEN SIGNATURE 客戶簽署/簽字式樣

Signature 簽署:

Signature (Joint / Secondary) 簽署(聯名/ 第二戶口持有人):

Name in Block Letter 姓名(正楷):

Name in Block Letter 姓名(正楷):

Date 日期:

Date 日期:

**FOR INTERNAL USE ONLY 僅供內部使用**

**WITNESS SIGNATURE (if this Form is not signed before a staff member of Dongxing Securities (HK) Co., Ltd.)** (To be certified by a person licensed or registered with the SFC or his affiliate, an affiliate of Dongxing Securities (HK) Co., Ltd., professional person, such as a branch manager of a bank, certified public accountant, lawyer or notary public.)

**見證人簽署 (如本表格並非在東興證券(香港)有限公司職員面前簽署, 須填寫此欄)** (由香港證監會發牌或註冊之人士或其聯繫人士、東興證券(香港)有限公司聯繫人士、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。)

I, named below, hereby certify that I have met and identified each of the person(s) who executed this Form before me, and reviewed the original of his/their I.D. card(s) or passport(s). 本人(姓名見下)核證已經與本表格簽署人會晤及核對其身份證或護照正本, 他(們)並在本人面前簽署本表格。

Name 姓名:

Profession 專業:

Date 日期:

\_\_\_\_\_  
Signature of Witness 見證人簽署

**DECLARATION BY STAFF 職員聲明**

I, named below, a staff member of Dongxing Securities (HK) Co., Ltd., hereby declare that I have:

本人(姓名見下), 為東興證券(香港)有限公司之職員, 謹此聲明, 本人:

- provided to the above-named Client the Risk Disclosure Statements (as contained in the Client Agreement) in a language of Client's choice (English or Chinese); 已向客戶提供以客戶選擇語言(英文或中文)所撰寫的風險披露聲明(載於客戶協議內); 及
- invited the Client to read the Risk Disclosure Statements, ask questions and take independent advice if the Client wishes.  
已邀請客戶參閱風險披露聲明、提出問題及諮詢獨立意見(如客戶有意)。

Staff Name 職員姓名:

Designation 職員職銜:

CE Number 職員 CE 編號:

Date 日期:

\_\_\_\_\_  
Signature of Staff 職員簽署

**DOCUMENT CHECKLIST 文件核對表**

- Hong Kong I.D. / PRC I.D. / Passport of  Principal / Sole Account Holder,  Joint / Secondary Account Holder (if applicable), and  ultimate beneficial owner of the Account (if applicable).  
 第一 / 獨立戶口持有人,  聯名 / 第二戶口持有人 (如適用) 及  最終受益人 (如適用) 之香港居民身份證 / 中國內地居民身份證 / 護照。
- Proof of address (e.g. utility bills / bank statements, issued within the last three months) of  Principal / Sole Account Holder,  Joint / Secondary Account Holder (if applicable), and  ultimate beneficial owner of the Account (if applicable).  
 第一 / 獨立戶口持有人,  聯名 / 第二戶口持有人 (如適用) 及  最終受益人 (如適用) 之住址證明 (例如最近三個月的公用事務帳單或銀行月結單)。
- Proof of income/net worth (e.g. bank statements / tax demand note). 收入/資產證明(例如銀行月結單/ 稅單)。
- FATCA and CRS related documents. 海外帳戶稅收合規法案 (FATCA) 及共同匯報標準(CRS)有關文件。

**APPROVAL OF ACCOUNT OPENING 開戶批准**

Submitted by 提交人:

Checked by 核對人:

Approved by 批准人:

\_\_\_\_\_  
Name 姓名:

Division 職銜:

Date 日期:

\_\_\_\_\_  
Name 姓名:

Division 職銜:

Date 日期:

\_\_\_\_\_  
Name 姓名:

Division 職銜:

Date 日期: