



MOUETTE SECURITIES COMPANY LIMITED
海盈證券有限公司

SFC CE No. 證監會中央編號: BLE877

Office : Room 4024-4033, 40/F., Sun Hung Kai Centre, 30 Harbour Road, Wanchai, Hong Kong
總辦事處: 香港灣仔港灣道 30 號新鴻基中心 40 樓 4024 至 4033 室
Tel 電話: (852) 2666 4666 Fax 傳真: (852) 2666 4677
Website 網址: www.mscl.hk

Account No 帳戶號碼: _____

ACCOUNT OPENING FORM 開戶表格
(Corporate 公司)

To: Mouette Securities Company Limited ("MSCL")
致: 海盈證券有限公司 (「海盈證券」)

We hereby apply to Mouette Securities Company Limited to open and maintain one or more cash and/or margin securities trading account ("Account") in our name for the purpose of instructing Mouette Securities Company Limited to buy and sell and otherwise deal with securities and other investments on our behalf and we have received and read the Terms and Conditions as stated in the Client Agreement ("Terms and Conditions") and hereby accept and agree to be bound by the provisions of this Account Opening Form and the Terms and Conditions as may be amended and notified by Mouette Securities Company Limited from time to time.

吾等謹此向海盈證券有限公司申請以吾等的名義開設及維持現金及 / 或保證金證券交易帳戶 (「帳戶」), 以用作指示海盈證券有限公司代吾等買賣及以其他方式處置證券及其他投資; 而吾等已從海盈證券有限公司接獲載於客戶協議的條款及條件 (「條款及條件」), 並謹此接納及同意受本開戶表格及海盈證券有限公司不時可能修訂及通知的條款及條件所約束。

Should there be any discrepancies between the English and the Chinese versions, the English version shall prevail.
如中英文版本之間有差異, 以英文版本為準。

A. Account Type 帳戶類別

(Please check the appropriate box 請在適當空格勾選)

- | | |
|---|---|
| <input type="checkbox"/> Cash Account 現金帳戶 | <input type="checkbox"/> Internet Trading Service 網上交易服務 |
| <input type="checkbox"/> Margin Account 保證金帳戶 | <input type="checkbox"/> Stock Connect Northbound Trading 滬深港通北向交易 |
| | <input type="checkbox"/> US Securities Trading 美國證券交易 |
| | <input type="checkbox"/> Discretionary Trading (Please complete Appendix I) 全權委託交易 (請填寫附件I) |
- Discretionary Asset Management Account (Please complete **Appendix I**)
全權資產管理帳戶 (請填寫附件I)
- Professional Investor Account (Please complete **Individual/Corporate Professional Investor Assessment Form**)
專業投資者帳戶 (請填寫個人/法團專業投資者評估表格)

B. Client Information Statement 客戶資料聲明

1. Corporate Information 公司資料

Company Name (English)			
公司名稱 (中文)			
Account Name 帳戶名稱	(if different from company name 如與公司名稱不同)		
Place of Incorporation 註冊地點	Date of Incorporation 註冊日期	(DD 日/MM 月/YYYY 年)	
Certificate of Incorporation No. 公司註冊證號碼	Nature/Scope of Business 業務性質/範圍		
Business Registration No. 商業登記編號			
Legal Entity Identifier (LEI) 法律實體識別編碼			
Type of Company 公司類別	<input type="checkbox"/> Listed Company 上市公司	<input type="checkbox"/> Private Company 私人公司	<input type="checkbox"/> Sole Proprietorship 獨資經營
	<input type="checkbox"/> Partnership 合夥經營	<input type="checkbox"/> Others 其他	_____
Registered Address 註冊地址			
Business Address 營業地址	(if different from registered address 如與註冊地址不同)		

E-mail Address 電郵地址			
Office Telephone No. 公司電話號碼		Fax No. 傳真號碼	
Mobile Phone No. for Internet Trading (if applicable) 網上交易服務流動電話號碼 (如適用)			
CCASS Investor Account Name and No. (if any) 中央結算所投資者戶口名稱及號碼 (如有)			
Specimen of Company Chop 公司印章樣式			

2. Particulars of the Company's Ultimate Beneficial Owner(s) 公司最終實益擁有人詳情 (not applicable to listed company 不適用於上市公司)

For individuals who hold more than 25% of the ultimate beneficial interest of the Company 擁有25%以上的公司最終權益擁有人

Name 姓名	ID Card/Passport No. 身份證/護照號碼	Nationality 國籍	Place of Birth 出生地點	% of Interest 權益百分比	Residential Address 住宅地址
				%	
				%	
				%	

3. Particulars of Company Directors 公司董事詳情

Name 姓名	ID Card/Passport No. 身份證/護照號碼	Nationality 國籍	Place of Birth 出生地點	Tel No. 電話號碼	Residential Address 住宅地址

4. Authorized Person 獲授權人士

Any _____ of the following person(s) may give written and/or oral instructions in relation to the trading and operation of the Account on behalf of the Client ("Authorized Person"):

下列任何 _____ 名人士可以書面及/或口頭指示操作帳戶及進行交易 (「獲授權人士」)。

Name 姓名	ID Card/Passport No. 身份證/護照號碼	Tel No. 電話號碼	Position 職位	Specimen Signature 簽名式樣

5. Financial Profile 財務狀況

Authorized Share Capital (HK\$) 註冊資本 (港元)		Paid-up Capital (HK\$) 繳足股本 (港元)	
Net Profit (After Tax) in preceding year 上年度除稅後純利	<input type="checkbox"/> < HK\$100,000 <input type="checkbox"/> HK\$300,001 – HK\$500,000 <input type="checkbox"/> > HK\$1,000,000	<input type="checkbox"/> HK\$100,000 – HK\$300,000 <input type="checkbox"/> HK\$500,001 – HK\$1,000,000	
Total Net Asset 資產淨值	<input type="checkbox"/> < HK\$500,000 <input type="checkbox"/> HK\$1,000,001 – HK\$3,000,000 <input type="checkbox"/> HK\$8,000,001 – HK\$40,000,000	<input type="checkbox"/> HK\$500,000 – HK\$1,000,000 <input type="checkbox"/> HK\$3,000,001 – HK\$8,000,000 <input type="checkbox"/> > HK\$40,000,000	

Source of Fund (Choose one or more) 資金來源 (可選多項)	<input type="checkbox"/> Business Profits 營業利潤	<input type="checkbox"/> Investment Income 投資獲利
	<input type="checkbox"/> Dividend/Interest Income 股息/利息收入	<input type="checkbox"/> Shareholder Fund 股東資金
	<input type="checkbox"/> Rental Income 租金收入	<input type="checkbox"/> Others (Please specify) 其他 (請註明): _____
Source of Wealth (Choose one or more) 財富來源 (可選多項)	<input type="checkbox"/> Business Development 業務發展	<input type="checkbox"/> Intragroup Financing 集團內部融資
	<input type="checkbox"/> Return on Investment 投資回報	<input type="checkbox"/> Shareholder Fund 股東資金
	<input type="checkbox"/> Business Ownership 企業所有權	<input type="checkbox"/> Others (Please specify) 其他 (請註明): _____

6. Tax Residency 稅務居民資料

A. Entity Type 實體類別

Tick one of the appropriate boxes and provide the relevant information. 在其中一個適當的方格內加上✓號，並提供有關資料。

Financial Institution 財務機構	<input type="checkbox"/> Custodial Institution, Depository Institution or Specified Insurance Company 託管機構、存款機構或指明保險公司 <input type="checkbox"/> 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 country 投資實體，但不包括由另一財務機構管理（例如：擁有酌情權管理投資實體的資產）並位於非參與稅務國家的投資實體
Active Non Financial Entity (NFE) 主動非財務實體	<input type="checkbox"/> 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 <input type="checkbox"/> Related entity of _____, the stock of which is regularly traded on _____, which is an established securities market _____的有關連實體，該有關連實體的股票經常 _____（一個具規模證券市場）進行買賣 <input type="checkbox"/> NFE is a governmental entity, an international organization, a central bank, or an entity wholly owned by one or more of the foregoing entities 政府實體、國際組織、中央銀行或由前述的實體全權擁有的其他實體 <input type="checkbox"/> Active NFE other than the above (Please specify) 除上述以外的主動非財務實體（請說明）_____
Passive Non Financial Entity (NFE) 被動非財務實體	<input type="checkbox"/> Investment entity that is managed by another financial institution and located in a non-participating country 位於非參與稅務國家並由另一財務機構管理的投資實體 <input type="checkbox"/> NFE that is not an active NFE 不屬主動非財務實體的非財務實體

B. 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（「稅務編號」）

Please complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the account holder is a resident for tax purposes and (b) the account holder's Tax Identification Number (TIN) for each jurisdiction indicated. Indicate all (not restricted to three) jurisdictions of residence. 請提供以下資料，列明 (a) 帳戶持有人的居留司法管轄區（香港包括在內）及 (b) 該居留司法管轄區發給帳戶持有人的稅務編號。列出所有（不限於3個）居留司法管轄區。

Jurisdiction of Residence 居留司法管轄區	TIN 稅務編號	*Reason for no TIN (Reason A, B or C) 沒有稅務編號的理由 (理由A、B或C)	Explain why the account holder is unable to obtain a TIN if you have selected Reason B 如選擇理由B，解釋帳戶持有人不能取得稅務編號的原因
(1)			
(2)			
(3)			

- * **Reason A:** The country/jurisdiction where you are a resident for tax purposes does not issue TINs to its residents.
理由A: 閣下所屬的稅務居民的國家/司法管轄區沒有向其居民發出稅務編號。
- Reason B:** You are unable to obtain a TIN. Explain why you are unable to obtain a TIN if you have selected this reason.
理由B: 閣下無法獲得稅務編號。如選擇此理由，請解釋閣下無法獲得稅務編號的原因。
- Reason C:** No TIN is required. Select this reason only if the authorities of the country of tax residence do not require the TIN to be disclosed.
理由C: 無需稅務編號。稅務居民國家的主管機關不需要閣下披露稅務編號。

C. Controlling Persons 控權人

(Complete this part if the entity account holder is a passive NFE) (如實體帳戶持有人是被動非財務實體，請填寫此部。)

Please indicate the name of ALL controlling person(s) hold 25% or more shareholder / ultimate beneficial owner 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 Self-Certification Form – Controlling Person for each controlling person.)*

請就帳戶持有人，填寫所有控權人擁有百分之二十五或以上之股東/最終實益擁有人的姓名在列表內。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自我證明表格 – 控權人。*)

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

I/We acknowledge and agree that (a) the information contained in this form is collected and may be kept by MSCL for the purpose of automatic exchange of financial account information, and (b) such information regarding the account holder and any reportable account(s) may be reported by MSCL to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another country or countries 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).

本人/吾等知悉及同意，海盈證券可根據《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)把該等資料和關於帳戶持有人及任何須申報帳戶的資料向香港特別行政區政府稅務局申報。從而把資料轉交到帳戶持有人的居留司法管轄區的稅務當局。

I/We certify that I am/we are the authorized to sign for the account holder of all the account(s) to which this form relates.

本人/吾等證明，就與本表格所有相關的帳戶，本人/吾等獲帳戶持有人授權簽署本表格。

I/We undertake to advise MSCL of any change in circumstances which affects the tax residency status of the entity identified in this form or causes the information contained herein to become incorrect, and to provide MSCL with a suitably updated self-certification form within 30 days of such change in circumstances.

本人/吾等承諾，如情況有所改變，以致影響本表格所述的實體的稅務居民身分，或引致本表格所載的資料不正確，本人/吾等會通知海盈證券，並會在情況發生改變後 30 日內，向海盈證券提交一份已適當更新的自我證明表格。

I/We declare that the information given and statements made in this form are, to the best of my/our knowledge and belief, true, correct and complete.

本人/吾等聲明就本人/吾等所知所信，本表格內所填報的所有資料和聲明均屬真實、正確和完備。

WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance of Hong Kong 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. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. \$10,000).

警告：根據香港《稅務條例》第 80(2E) 條，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，即屬犯罪。一經定罪，可處第 3 級（即 \$10,000）罰款。

7. Disclosure and Declaration of Identity 身份披露及聲明

1. The Client, the Client's shareholder(s) and the ultimate beneficial owner(s) of the Account is/are not U.S. citizen or resident.
客戶及/或客戶之股東/帳戶最終實益擁有人確認並非為美國公民或居民。

No 否 Yes 是

2. Is/Are the Client, the Client's director(s)/ shareholder(s)/authorized person(s) and/or the ultimate beneficial owner(s) of the Account a Licensed or Registered Person or a director, employee, representative or agent of a Licensed or Registered Person of the Securities and Futures Commission?

客戶及/或客戶之董事/股東/獲授權人士/帳戶最終實益擁有人是否為證券及期貨事務監察委員會之持牌或註冊人士，或任何持牌或註冊人士的董事、員工、代表或代理人？

(If yes, please provide the written consent of account opening from your employer. 如“是”，請提供就開立本帳戶之僱主同意書。)

No 否 Yes 是

Name of Licensed or Registered Person:

該持牌或註冊人士姓名: _____

CE No. 中央編號: _____

3. Do/Does the Client's director(s)/ shareholder(s)/ authorized person(s) and/or the ultimate beneficial owner(s) of the Account related to any director(s), employee(s) or agent(s) of Mouette Securities Company Limited or its Associated Companies?
客戶之董事/股東/獲授權人士/帳戶最終實益擁有人是否與海盈證券有限公司或其聯營公司之董事、職員或代理人有任何關係？

No 否 Yes 是

Name of the Relevant Person(s):

有關人士姓名: _____

Relationship 關係: _____

4. Is/Are the Client's director(s), the shareholder(s)/ the authorized person(s) and/or the ultimate beneficial owner(s) of the Account a client of MSCL or its Associated Companies?
客戶之董事/股東/獲授權人士/帳戶最終實益擁有人是否海盈證券或其聯營公司之客戶？

No 否 Yes 是

Account Name 帳戶名稱: _____

Account No. 帳戶號碼: _____

5.	<p>Is/Are the Client's director(s), the shareholder(s)/ the authorized person(s) and/or the ultimate beneficial owner(s) of the Account a Political Exposed Person (PEP) or related to a Political Exposed Person? 客戶之董事/股東/獲授權人士/帳戶最終實益擁有人是否屬政治人物或與政界人物有關連的人士?</p> <p><input type="checkbox"/> No 否 <input type="checkbox"/> Yes, please specify 是，請註明: _____</p>																
6.	<p>Do/Does the Client, the Client's director(s)/ shareholder(s)/authorized person(s) and/or the ultimate beneficial owner(s) of the Account control 35% or more of the voting rights of another margin client of MSCL? 客戶及/或客戶之董事/股東/獲授權人士/帳戶最終實益擁有人是否控制海盈證券其他保證金客戶之百分之三十五或以上的投票權?</p> <p><input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是</p> <p style="text-align: right;">Account Name 帳戶名稱: _____</p> <p style="text-align: right;">Account No. 帳戶號碼: _____</p>																
7.	<p>Do/Does the Client belong to the same group of companies as another company which is a margin client of MSCL? 客戶是否為某一集團公司之一成員公司，而該成員公司是海盈證券有限公司的證券交易保證金客戶?</p> <p><input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是</p> <p style="text-align: right;">Account Name 帳戶名稱: _____</p> <p style="text-align: right;">Account No. 帳戶號碼: _____</p>																
8. Ultimate Beneficial Owner(s) of the Account 帳戶最終實益擁有人																	
<p>I/We am/are the ultimate beneficial owner(s) of the Account. 本人/吾等是該帳戶的最終實益擁有人。</p> <p><input type="checkbox"/> Yes 是</p> <p><input type="checkbox"/> No, please specific 否，請註明:</p> <p>Name: _____ I.D. Card / Passport No.: _____ 姓名: _____ 身份證或護照號碼: _____</p> <p>Address: _____ Relationship with Account Holder: _____ 地址: _____ 與客戶的關係: _____</p> <p>The ultimate beneficial owner(s) of the Account confirms that he/she is not a U.S. citizen or resident or born in U.S.. 帳戶最終實益擁有人確認其並非為美國公民或居民或在美國出生。 <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否</p>																	
9. Originator(s) of Account Instruction 帳戶指示發出人																	
<p>I/We am/are the person(s) fully responsible for giving all instruction in relation to the operation and transaction of the Account. 本人/吾等負責為帳戶的運作及交易發出一切指示。</p> <p><input type="checkbox"/> Yes 是</p> <p><input type="checkbox"/> No, please specific 否，請註明:</p> <p>Name: _____ I.D. Card / Passport No.: _____ 姓名: _____ 身份證或護照號碼: _____</p> <p>Address: _____ Relationship with Account Holder: _____ 地址: _____ 與客戶的關係: _____</p> <p>The originator(s) of account instruction confirms that he/she is not a U.S. citizen or resident or born in U.S.. 帳戶指示發出人確認其並非為美國公民或居民或在美國出生。 <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否</p>																	
10. Method of Communication 通訊方法																	
<p>1. Daily and monthly statements will be sent by the following means (Select one) 交易確認及帳單透過以下方式發送 (只選一項)</p> <p><input type="checkbox"/> By E-mail 電子郵件方式 <input type="checkbox"/> By Post 郵遞方式</p> <p>2. All postal correspondence will be sent to the following address (Select one) 所有郵遞信件將會發送到以下地址 (只選一項)</p> <p><input type="checkbox"/> Business Address 營業地址 <input type="checkbox"/> Others 其他: _____</p> <p>Please be noted that MSCL reserves the right, at its sole discretion to change or modify the method of communication to the Client that MSCL deemed appropriate at any time. 無論客戶選擇以郵遞或電子郵件作為通訊方法，海盈證券均有最終決定權使用任何其認為適當的通訊方式與客戶進行通訊。</p>																	
11. Settlement Account Information 結算帳戶資料																	
<p>1. The Client hereby instructs and authorizes MSCL to deposit all payments payable to the Client into the following bank account. 客戶謹此指示及授權海盈證券將所有應付客戶之款項存入下列之銀行帳戶。</p> <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 25%;">Currency 貨幣</th> <th style="width: 30%;">Name of Bank 銀行名稱</th> <th style="width: 25%;">Account No. 帳戶號碼</th> <th style="width: 20%;">Name of Account Holder 帳戶持有人名稱</th> </tr> </thead> <tbody> <tr> <td>HKD 港幣</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>USD 美元</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>RMB 人民幣</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> </tbody> </table>		Currency 貨幣	Name of Bank 銀行名稱	Account No. 帳戶號碼	Name of Account Holder 帳戶持有人名稱	HKD 港幣	_____	_____	_____	USD 美元	_____	_____	_____	RMB 人民幣	_____	_____	_____
Currency 貨幣	Name of Bank 銀行名稱	Account No. 帳戶號碼	Name of Account Holder 帳戶持有人名稱														
HKD 港幣	_____	_____	_____														
USD 美元	_____	_____	_____														
RMB 人民幣	_____	_____	_____														

2. For Hong Kong market DVP settlement only 只適用於香港市場貨銀對付結算

Custodian Bank 託管銀行

Account Name 帳戶名稱

CCASS ID (if applicable) 中央結算系統號碼 (如適用)

Securities Account No. 證券帳戶號碼

12. Particulars of Proposed Guarantor 建議擔保人之資料

Name 姓名	(English) (英文)	(Chinese) (中文)
ID/Passport No. 身份證或護照號碼		Country of Issue 簽發國家
Telephone No. 電話		Occupation 職業
Residential Address 住宅地址		Relationship with the Client 與客戶之關係

Note: The Guarantor has to sign the Deed of Guarantee and Indemnity. 擔保人須於擔保及彌償保證契據簽署。

13. Standing Authority (Client Money and Client Securities) 常設授權 (客戶款項及客戶證券)

Client Money Standing Authority 客戶款項常設授權

This Client Money Standing Authority is given pursuant to the Securities and Futures (Client Money) Rules, which covers money held or received by MSCL in Hong Kong (including any interest derived from the holding of the money which does not belong to MSCL) in one or more segregated account(s) on my/our behalf (the "Monies").

本客戶款項常設授權根據《證券及期貨(客戶款項)規則》涵蓋海盈證券在香港代表本人/吾等開立的一個或多個獨立帳戶中持有或收到的款項(包括因持有任何不論是否屬於海盈證券的款項所獲取的利息)(下稱「款項」)。

I/We hereby authorize MSCL to do any of the following without giving me/us notice (unless instructed otherwise):

本人/吾等謹此授權海盈證券在無須向本人/吾等發出通知的情況下作出以下任何行動(除非另有指示)：

- combine or consolidate any or all segregated accounts, of any nature whatsoever, maintained by MSCL and/or its Affiliates (as defined in "Terms and Conditions") and MSCL may transfer any sum of Monies to and between such segregated account(s) to satisfy my/our Liabilities (as defined in "Terms and Conditions") to MSCL and/or its Affiliates, whether such Liabilities are actual or contingent, primary or collateral, secured or unsecured, or joint or several;
組合或合併本人/吾等於海盈證券及/或其聯屬人(定義見「條款及細則」)所開設的任何獨立帳戶。海盈證券可將該等獨立帳戶內任何數額之款項作出轉移,以結清本人/吾等對海盈證券及/或其聯屬人的負債(定義見「條款及細則」),不論此等負債是確實或突然的、原有或附帶的、有抵押或無抵押的、共同或分別的;
- set-off or transfer any sum of Monies interchangeably between any of the segregated accounts maintained at any time by MSCL and/or its Affiliates towards satisfaction of any of my/our Liabilities to MSCL and/or its Affiliates;
海盈證券可於任何時候維持的獨立帳戶之間抵銷或來回調動任何數額之款項,以結清本人/吾等對海盈證券及/或其聯屬人的負債;
- transfer any funds standing from time to time in any account maintained at any time by me/us with MSCL and/or its Affiliates to the Account (as defined in "Terms and Conditions") and/or to any other account maintained at any time by me/us with MSCL; and
將本人/吾等於任何時間在海盈證券及/或其聯屬人的帳戶不時的任何資金轉入至帳戶(定義見「條款及細則」)及/或本人/吾等於任何時間在海盈證券及/或其聯屬人維持的任何其他帳戶;
- transfer my/our Monies held or received by MSCL in Hong Kong to a segregated account outside Hong Kong.
將海盈證券在香港為本人/吾等持有或收到的款項轉移到香港以外的獨立帳戶。

This Client Money Standing Authority is given to MSCL in consideration of its agreeing to continue to maintain securities cash and/or margin account(s) for me/us.

本客戶款項常設授權是建基於海盈證券同意繼續維持本人/吾等的證券現金帳戶及/或證券保證金帳戶。

This Client Money Standing Authority is given without prejudice to other authorities or rights which MSCL and/or its Affiliates may have in relation to dealing in Monies in the segregated accounts.

本客戶款項常設授權的授予並不影響海盈證券及/或其聯屬人就處理獨立帳戶中的款項所擁有的其他授權或權利。

Client Securities Standing Authority 客戶證券常設授權 (Applicable to the Securities Margin Accounts Clients) (適用於證券保證金帳戶的客戶)

This Client Securities Standing Authority is given pursuant to the Securities and Futures (Client Securities) Rules and is in respect of the treatment of the Client's securities or securities collateral as set out below.

本客戶證券常設授權根據《證券及期貨(客戶款項)規則》而訂,並按下述方式處理客戶的證券或證券抵押品：

I/We authorize MSCL to do any of the following without giving me/us notice (unless instructed otherwise):

本人/吾等授權海盈證券在無須向本人/吾等發出通知的情況下作出以下任何行動(除非另有指示)：

- (a) apply any of my/our securities or securities collateral pursuant to securities borrowing and lending agreement(s) or securities repurchase agreement(s);
依據證券借貸協議或證券回購協議運用本人/吾等任何的證券或證券抵押品；
- (b) deposit any of my/our securities collateral with an authorized financial institution(s) as collateral for financial accommodation provided to MSCL; and/or
將本人/吾等的任何證券抵押品存放於一間認可財務機構，作為提供予海盈證券的財務通融的抵押品；及/或
- (c) deposit any of my/our 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 MSCL's settlement obligations and liabilities.
將本人/吾等的任何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，作為向海盈證券解除和清償交收上的責任及義務的抵押品；
- (d) apply or deposit any of my/our securities collateral in accordance with Clauses (a), (b) and/or (c) above if MSCL provides financial accommodation to me/us in the course of dealing in securities and also provides financial accommodation to me/us in the course of any other regulated activity for which MSCL is licensed or registered.
若海盈證券在進行證券交易過程中以及在進行任何其他獲發牌或獲註冊的受規管活動過程中，向本人/吾等提供財務通融，可根據上述(a)、(b)及/或(c)款運用或存放本人/吾等的任何證券抵押品。

I/We understand that the recognized clearing house or the intermediary licensed or registered for dealing in securities will have a first fixed charge over my/our securities collateral to the extent of MSCL's obligations and liabilities;
本人/吾等明白認可結算所或其他獲持牌或獲註冊進行證券交易的中介人，將因應海盈證券在交收上的義務及責任對本人/吾等的證券抵押品設定為第一固定抵押權；

This Client Securities Standing Authority does not cover any consideration I/we must pay or be paid for MSCL's borrowing, lending, or depositing any of my/our securities. Any consideration must be set in a separate agreement between us.
本客戶證券常設授權並不涵蓋就海盈證券借入、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/吾等與海盈證券另行簽約訂明。

MSCL is accountable to me/us for the return of any of my/our securities borrowed, lent, or deposited under this Client Securities Standing Authority.
海盈證券須向本人/吾等就交還有關根據本客戶證券常設授權而作出借入、貸出或存放之證券負責。

I/We understand that a third party may have rights to my/our securities, which MSCL must satisfy before my/our securities can be returned to me/us.
本人/吾等明白，本人/吾等的證券可能受制於第三方的權利，海盈證券須在清償該等權利後，方可將本人/吾等的證券退回給本人/吾等。

General Terms to Standing Authority (Client Money and Client Securities)

常設授權（客戶款項及客戶證券）通用條款

Unless otherwise defined, the terms used in this Standing Authority (Client Money and Client Securities) ("**Standing Authority**") shall have the same meanings as in the Securities and Futures Ordinance, the Securities and Futures (Client Securities) Rules and the Securities and Futures (Client Money) Rules as amended from time to time.

除非另有定義，本常設授權（客戶款項及客戶證券）（「**常設授權**」）所使用的術語應與不時修訂的《證券及期貨條例》、證券及期貨（客戶證券）和證券及期貨（客戶款項）規則中的定義相同。

This Standing Authority is valid for a period of 12 months from the date hereof. I/We may revoke the Standing Authority by giving writing notice to MSCL, such notice shall take effect upon the expiry of 14 days from the date of MSCL's actual receipt of such notice.

本常設授權自即日起生效，有效期為 12 個月。本人/吾等可以向海盈證券發出書面通知以撤回該常設授權。有關撤回該常設授權通知之生效日期為海盈證券實際收到該等通知後之 14 日起計。

I/We understand that this Standing Authority shall be deemed to be renewed 12 months on a continuing basis without my/our written consent if MSCL issues me/us a written reminder at least 14 days prior to the expiry date of this Standing Authority, and I/we do not object to such deemed renewal before such expiry date.

本人/吾等明白倘若海盈證券在本常設授權有效期屆滿前最少 14 日，會向本人/吾等發出書面通知，提醒本人/吾等該常設授權即將屆滿，而本人/吾等沒有在該常設授權屆滿日前對該常設授權的續期表示反對，該常設授權應當作在不需要本人/吾等的書面同意下按持續的基準已續期 12 個月。

I/We hereby acknowledge and confirm that this Standing Authority has been explained to me/us and I/We understand and agree with the content of this Standing Authority.

本人/吾等謹此承認並確定海盈證券已經向本人/吾等解釋了本常設授權的內容。本人/吾等明白及同意本常設授權的內容。

Client Signature with Company Chop
客戶簽署及公司印章

14. Declaration of Collection and Use of Personal Data 個人資料收集及使用聲明

Declaration of Collection and Use of Personal Data for Direct Marketing 收集及使用個人資料作直接促銷聲明

I/We hereby acknowledge and understand the privacy policy of Mouette Securities Company Limited set out in that the “Notice to Customers Relating to the Personal Data (Privacy) Ordinance”, “GDPR Privacy Statements” (where applicable) and “Notice to Customers Relating to the Use of Personal Data Relating to Tax Compliance” contained in the Terms and Conditions (collectively referred to as “Privacy Policy”). I/We acknowledge and agree that the personal data collected by Mouette Securities Company Limited from time to time may be used and disclosed for such purpose and to such persons (whether in or outside Hong Kong) as set out in the Privacy Policy and Mouette Securities Company Limited may use my/our personal data for direct marketing. I/we hereby:-

本人/吾等謹此確認及明白海盈證券有限公司於條款及條件中「關於《個人資料(私隱)條例》的客戶通知」、「歐盟個人資料保護規則(GDPR)私隱政策聲明」(如適用)及「關於就稅務合規使用個人資料的客戶通知」所載之私隱政策(統稱「私隱政策」)。本人/吾等確認及同意由海盈證券有限公司不時蒐集的個人資料可按照私隱政策用於其所述用途及向其所述人士(不論在香港境內或境外)披露。本人/吾等:

Agree 同意 Do Not Agree 不同意

to the proposed use of my/our personal data for direct marketing.

本人/吾等的個人資料被使用作直接促銷用途。

Personal Information Collection Statement Concerning Hong Kong Identification Regime and Over-the-counter Securities Transactions Reporting Regime

香港投資者識別碼制度及場外證券交易匯報制度的個人資料收集聲明

I/We hereby acknowledge that I/we have read and understand the Privacy Policy and the content of the Personal Information Collection Statement Concerning Hong Kong Identification Regime and Over-the-counter Securities Transactions Reporting Regime. I/we hereby:

本人/吾等確認本人/吾等已閱讀並了解有關私隱政策及個人資料收集用於香港投資者識別碼制度及場外證券交易匯報制度的內容。本人/吾等:

Agree 同意 Do Not Agree* 不同意*

MSCL to use of my/our personal data for the purposes set out in the Personal Information Collection Statement.

海盈證券將本人/吾等之個人資料用於個人資料收集聲明所載的目的。

** Failure to provide us with your personal data or consent as described above may mean that MSCL will not, or will no longer be able to, as the case may be carry out your trading instructions or provide you with securities related services (other than to sell, transfer out or withdraw your existing holdings of securities, if any).*

** 如閣下未能向海盈證券提供個人資料或上述同意,可能意味著海盈證券將不會或不能夠再(視情況而定)執行閣下的交易指示或向閣下提供證券相關服務,惟出售、轉出或提取閣下現有的證券持倉(如有)除外。*

Personal Information Collection Statement Concerning Northbound China Connect Orders

中華通北向交易指示的個人資料收集聲明

I/We hereby acknowledge that I/we have read and understand the Privacy Policy and the content of the Personal Information Collection Statement Concerning Stock Connect Northbound Trading. I/we hereby:

本人/吾等確認本人/吾等已閱讀並了解有關私隱政策及個人資料收集用於中華通北向交易的內容。本人/吾等:

Agree 同意 Do Not Agree* 不同意*

MSCL to use of my/our personal data for the purposes set out in the Personal Information Collection Statement.

海盈證券將本人/吾等之個人資料用於個人資料收集聲明所載的目的。

I/We confirm that I/we am/are neither the holder of identity documents issued by Mainland China nor the corporate/unincorporated entities registered in Mainland China.

本人/吾等確認本人/吾等並非持有中國內地身份證明文件,以及並非為在中國內地註冊的法人及非法人組織。

** Failure to provide us with your personal data or consent as described above may mean that MSCL will not, or no longer be able, as the case may be, to carry out your trading instructions or provide you with our Stock Connect Northbound Trading Service.*

** 如閣下未能向海盈證券提供個人資料或上述同意,意味著海盈證券將不能或不能再執行閣下的交易指示(視情況而定)或向閣下提供滬港通及深港通北向交易服務。*

C. Acknowledgement, Declaration & Signatures 承諾、聲明及簽署

The Client hereby acknowledges, declares and confirms that:

客戶謹此承諾、聲明並確認:

1. The information in this Account Opening Form (the “Form”) is true, complete and correct and MSCL is entitled to rely fully on such information for all purposes relating to the Account(s) and the transactions contemplated by the Terms and Conditions, unless the Client informs MSCL in writing of any change to that information. MSCL is authorized at any time to contact anyone, including the Client’s bankers, brokers or any credit agency, for the purposes of verifying the information provided in this Form. The Client undertakes to notify MSCL promptly in case of any change of information;

本開戶表格(「表格」)內所提供之全部資料屬真實、完整及為正確無誤。除非海盈證券接到更改有關本表格內容的書面通知,否則海盈證券有權全面依賴此等資料就有關帳戶及按照條款及條件預計進行的交易作任何用途。海盈證券有權隨時聯絡任何人,包括客戶之銀行、經紀或任何

信貸機構作核實本表格之用途。倘資料有任何更改，客戶承諾盡快知會海盈證券；

2. The Client has received, read and understood the Terms and Conditions (including the schedules, appendices and annexes thereto, if any), and the Client accepts and agrees to abide by the Terms and Conditions, the Securities and Futures Ordinance and the subsidiary legislations, rules, guidelines and codes made thereunder, and the rules and regulations of any relevant exchange company(ies), clearing house(s) and exchange controller(s) (including but not limited to the Stock Exchange of Hong Kong Limited (SEHK) and the Hong Kong Securities Clearing Company Limited (HKSCC), whichever is applicable) and regulatory body(ies) in Hong Kong and/or overseas as amended from time to time governing the transactions in the Account;
客戶已收到、閱讀及明白一切條款及條件(包括其附表、附錄及附件(如有))，且接納並同意遵守該等條款及條件、證券及期貨條例及其附屬法例、以及相關交易所、結算所及控制人(包括但不限於香港聯合交易所、香港中央結算，如適用)及香港及/或海外監管機構不時修訂以規管於該帳戶進行的交易之條例及規則，並受其約束約束；
3. The risk disclosure statements and disclaimers (as contained in the Terms and Conditions) were provided and explained to the Client in a language of the Client's choice (English or Chinese) and the Client has been invited to read them carefully, ask questions and seek independent advice if the Client so wishes. The Client also confirms that the Client has retained a copy of the above for the Client's reference;
風險披露聲明及免責聲明(載於條款及條件內)已按客戶選擇的語言(英文或中文)的版本提供並解釋予客戶，及客戶已獲邀請閱讀此等文件，並按其意願提出問題及諮詢獨立意見。客戶確認已經保留此等文件副本乙份，以作備考之用；
4. The documentation on the Nasdaq-Amex Pilot Program as set out in the Terms and Conditions has been provided to the Client in a language of the Client's choice;
條款及條件內所載的納斯達克—美國證券交易所試驗計劃的文件已按客戶選擇的語言的版本提供予客戶；
5. The Client is and will be acting as principal, unless where particulars of the ultimate beneficial owner(s) are provided in this Form, in which case the Client confirms that the person(s) whose particulars are so provided is/are the ultimate beneficial owner(s) of the Account(s);
除非客戶於本表格提供最終實益擁有人的詳情，否則客戶乃以及將以當事人之身份行事，而倘於本表格已提供最終實益擁有人的詳情，則以客戶確認所提供詳情的人士(一名或多名)為帳戶(一個或多個)的最終實益擁有人(一名或多名)；
6. The Client hereby declares that the Client is not a United States person for Foreign Account Tax Compliance Act (FATCA) purposes, and the income to which the Account(s) related is not subjected to tax under FATCA. The Client undertakes to notify MSCL and relevant authorities within 30 days for any change of circumstances stated in the W8BEN-E Form, without which the Client agrees that the W8BEN-E Form will be deemed renewed. The Client shall fully indemnify and hold harmless MSCL from and against all claims, damages, losses, costs and expenses whatsoever incurred as a result of providing misleading or false information or otherwise failing to comply with any requirement under FATCA and any other Foreign Law Requirement.
客戶謹此聲明其並非《海外帳戶稅收合規法案》下所定義的美國人士，而且帳戶下之相關的收入依《海外帳戶稅收合規法案》毋須扣繳稅款。客戶承諾如於W8BEN-E表格中的情況有任何更改，客戶須於30天內通知海盈證券相關部門，否則客戶同意該W8BEN-E表格會被當作續期；客戶亦同意悉數對海盈證券因客戶提供含誤導成分或錯誤的資料，或並無遵守海外帳戶稅收合規法案及任何其他外國法規的情況下而蒙受的任何索償、損害、損失、費用及開支作出彌償並保證其利益不受損害；
7. The Client acknowledges and confirms that the Client has read and understood the privacy policy of MSCL set out in the "Notice to Customers Relating to the Personal Data (Privacy) Ordinance", "GDPR Privacy Statements" (where applicable) and "Notice to Customers Relating to the Use of Personal Data Relating to Tax Compliance" contained in the Terms and Conditions (collectively "Privacy Policy"). Unless the Client does not agree to the use of personal data for the proposed purpose by ticking the box in Section 14 of this Form, the Client, the Client's director(s)/shareholder(s)/authorized person(s) and the ultimate beneficial owner(s) of the Account acknowledge and consent that MSCL may use and/or transfer the personal data of the Client, the Client's director(s)/shareholder(s)/authorized person(s) and the ultimate beneficial owner(s) of the Account which may collect from time to time in the course of their provision of services to the Client, for the purpose as set out in the Privacy Policy;
客戶確認已閱讀及明白海盈證券於條款及條件中「關於《個人資料(私隱)條例》的客戶通知」、「歐盟個人資料保護規則(GDPR)私隱政策聲明」(如適用)及「關於就稅務合規使用個人資料的客戶通知」所載之私隱政策(統稱「私隱政策」)。除非客戶於本表格第14部表示不同意海盈證券使用其個人資料，否則客戶及客戶之董事/股東/獲授權人士/帳戶最終實益擁有人確認及同意海盈證券可根據私隱政策所述用途而使用及轉移客戶及在為客戶提供服務的期間可能不時需要蒐集有關客戶之董事/股東/獲授權人士/帳戶最終實益擁有人的個人資料；
8. The Client has the authority and power and legal capacity to sign this Form, to maintain and operate the Account(s), to effect the transactions contemplated by the Terms and Conditions, and to perform all the Client's obligations under this Form and the Terms and Conditions and this Form and the Terms and Conditions constitute valid and legally binding obligations on the Client enforceable in accordance with their respective terms.
客戶獲授權，並有權力和法定身份去簽署本表格、保留及操作帳戶(一個或多個)、進行條款及條件預計進行的交易，及根據本表格以及其條款及條件履行公司的所有義務，而本表格以及條款及條件按照其各自的條款，構成對客戶可強制執行的有效和具有法律約束力的義務；
9. The Client acknowledges that the Client has carefully read and fully understood the contents of the Risk Disclosure Statements as stated in the Terms and Conditions, in particular the Client fully understands the nature and risks associated with derivative product(s). The Client confirms and accepts the explanation of risks in trading different derivative products provided by MSCL. If the Client decides to trade in derivatives products, the Client agrees to bear the risks involved. The Client confirms that the Client shall make the Client's own risk assessment, or seek independent professional advice before trading in derivative product(s), and that the Client has sufficient net worth to be able to assume the risks and bear the potential losses for the Client's trades in derivatives product(s);
客戶確認已細心閱讀及完全明白載於條款及條件內的風險披露聲明之一切內容，尤其客戶已完全了解當中提及衍生產品之性質及相關風險。客戶確認接受海盈證券就有關交易各類衍生產品作出之風險解釋。如果客戶決定買賣該等衍生產品時，客戶同意承擔有關風險。客戶確認在買賣衍生產品前，將會進行自我風險評估或尋求獨立專業意見，並擁有足夠資本承擔有關風險及損失。
10. MSCL shall have absolute rights to change, amend, delete or substitute any of the terms and provisions of Terms and Conditions and publish on MSCL's website. The Client should pay attention to the announcement/notice promulgated on MSCL's website from time to time. All the aforesaid change, amendment, deletion or substitution shall come into effect upon the Client's receipt or deemed receipt of MSCL's notification on such revision and shall be taken as forming part of Terms and Conditions. The Client may raise written objection within 14 days after the aforesaid receipt or deemed receipt of the notification, otherwise the Client shall be deemed to have accepted such amendment;
海盈證券有絕對之權利不時更改、修訂、刪除或取替條款及細則的任何內容，並刊載於海盈證券網頁內，客戶應不時留意海盈證券網頁刊載的公告及通知。所有有關更改、修訂、刪除或取替於客戶接獲或被視為接獲海盈證券之通告時立即生效，並列入該等條款內。客戶可於接獲或被視為接獲海盈證券之通告後十四天內以書面向海盈證券提出反對，否則會被視為接受該改動。
11. MSCL may post the specifications and information relating to the relevant securities on its website from time to time and the same shall be binding on the Client. MSCL shall not be held liable for any error, loss, expenses, damages or loss of profit suffered by the Client as a result of any omission of such

specifications and information or delay in notifying such specifications and information. The Client hereby confirms that the Client has read and fully understood such specifications and information in a language of the Client's choice. The Client also confirms that the Client has been invited to ask questions in writing and take independent advice;

海盈證券有限公司不時於其網頁內刊載有關之證券之規格及資料，該等規格及資料對客戶有約束力。海盈證券有限公司不須對該等規格及資料的錯誤、遺漏或延誤通知令客戶蒙受的任何損失、開支、賠償或失去任何利潤，向客戶負責或承擔任何法律責任。客戶現確認已詳細閱讀按照客戶選擇的語言而提供之該等規格及資料。客戶亦確認已獲邀請透過書面途徑提出問題及尋求獨立意見。

12. The Client agrees to indemnify, and to keep indemnified, MSCL and its directors, employees and representatives from and against any losses, liabilities, damages, interests, costs, expenses, actions, demands, claims or proceedings of whatsoever nature which they (or any of them) may incur, suffer and/or sustain as a consequence of any transaction undertaken in pursuance to above authority;
客戶謹此同意就海盈證券因執行上述授權而可能產生、蒙受及/或承受的一切虧損、責任、損失、利息、費用、開支、訴訟、要求、索償或法律程序等向海盈證券及其董事、職員及代表作出賠償，並保障該公司免受損害。
13. The Client hereby acknowledges and agrees that the requested information and documents should be obtained from the Client prior to account opening. If the information and the required documents are not obtained and identity verification is not completed within 30 working days after opening the Account, the Account may be suspended until all required information is obtained. If identity verification is not completed within 90 working days after opening the Account, the Account may be terminated;
客戶明白及同意需於開立帳戶前提交所需的文件/資料。如未能於開立帳戶後 30 個工作天內提交有關資料及文件並完成身分核實程序，帳戶可被凍結直至取得有關資料。如在 90 個工作天內仍未能完成身分核實程序，帳戶可被終止。
14. The Client understands that the Client might be required to provide additional information or submit documentary proof as to the information provided in this application as and when requested by MSCL;
客戶明白須隨時應海盈證券的要求提供進一步資料或就此申請書上所提供的資料呈遞書面證明；
15. The Client further declares that the Account(s) was/were opened at the Client's free will and MSCL's staff, account executive and/or associate has/have not carried on any unsolicited calls on the Client;
客戶進一步聲明在訂立任何契約時，客戶是在絕對自願的情況下開設帳戶，而海盈證券之職員、客戶主任及/或其夥伴並沒有對客戶作出任何未獲邀約之造訪行為；
16. For giving discretionary/standing authority only: The Client acknowledges and confirms that the Client has given the discretionary/standing authority to authorize MSCL to deal with the Client's securities and monies. The contents of the discretionary/standing authority have been explained to the Client and the Client fully understands and agrees the contents of it; and
只適用於全權委託/常設授權：客戶承認並確定客戶已授予海盈證券全權委託/常設授權以處置其證券及款項，客戶已就該全權委託/常設授權的內容獲得解釋，並且完全明白及同意其內容；及
17. The Client agrees and confirms the Specimen Signature(s) hereunder will be used to verify all written instructions given to the operation of the Account(s).
客戶同意並確定下列簽署樣式將被用作核證任何就帳戶運作之書面指示。

Client Signature with Company Chop 客戶簽署及公司印章	Client Name 客戶姓名:
	Date 日期:

For Office Use Only 只供本公司使用**Declaration by Mouette Securities Company Limited Licensed Staff
海盈證券有限公司職員的聲明**

I, named below, a licensed staff member of Mouette Securities Company Limited, hereby declare that I have:

本人(姓名見下),為海盈證券有限公司之持牌職員,謹此聲明,本人:

- (i) met and identified each of the person(s) who executed this Form (the "Client") in front of me, and reviewed the original of his/their ID card(s) or passport(s); and 確實與本表格簽署人(一名或多名)(「客戶」)會面,並已識別各人及核對其身份證或護照正本,確認客戶在本人面前簽署本表格;及
- (ii) provided to Client the risk disclosure statements (as contained in the Terms and Conditions in a language of the Client's choice (English or Chinese)) and 已以客戶選擇的語言(英文或中文)提供風險披露聲明(載於條款及條件內);及
- (iii) invited the Client to read the risk disclosure statements, ask questions and take independent advice if the Client so wishes. 已邀請客戶各自詳閱風險披露聲明,並按其意願提出問題及如有需要可諮詢獨立意見。

Signature of Staff 職員簽署

Staff Name 職員姓名:

Staff Designation 職員職銜

Staff CE Number 職員中央編號:

Date 日期:

Witness Certification**見證人核證**

(Must be completed where this Form is NOT signed in front of a licensed staff member of Mouette Securities Company Limited)

(如本表格並非在海盈證券有限公司持牌職員面前簽署,須填寫此欄)

I, named below, certify that I have met and identified each of the persons who executed this Form in front of me, and reviewed the original of his/their ID Cards or passports.

本人(姓名見下)確實已經與本表格簽署人(一名或多名)會面,並已識別各人及核對其身份證或護照正本,確認客戶在本人面前簽署本表格。

To be certified by a person licensed or registered with Securities and Futures Commission Hong Kong, an affiliate of a licensed or registered person, a Justice of the Peace, or a professional person such as a branch manager of a bank, certified public accountant, lawyer, notary public or chartered secretary.

應由其他證券及期貨事務監察委員會持牌人或註冊人、持牌人或註冊人的聯繫人士、太平紳士或專業人士例如銀行分行經理、執業會計師、律師、公證人或特許秘書加以驗證。

Signature of Witness 見證人簽署

Witness Name 姓名:

Pfession 職業:

CE Number (if applicable) 中央編號(如適用):

Date 日期

Acknowledgement by Mouette Securities Company Limited 經由海盈證券有限公司確認

Duly authorized representative signing for & on behalf of Mouette Securities Company Limited

海盈證券有限公司獲授權代表

Name 姓名: _____

CE No 證監會中央編號: _____

Date 日期: _____

For & on behalf of

Mouette Securities Company Limited

海盈證券有限公司

Authorized Signature 授權簽署

For Internal Use Only 只供內部使用

	Checked By Account Executive 客戶主任檢閱	Approved By RO 負責人員審批	(Applicable to High Risk Client) (適用於高風險客戶)
			Approved By RO 負責人員審批
Signature 簽署:			
Name 姓名:			
Date 日期:			
Inputted by: _____			

Checklist of Documents 所需文件	
To open a 開立帳戶	
<input type="checkbox"/> Corporate Account 公司帳戶	
The Client needs to provide the following documents : 客戶必須提供下列文件:	
1. Completed and signed Account Opening Form (Corporate) 填妥及簽署開戶表格(公司)	<input type="checkbox"/>
2. Risk Profile Questionnaire 風險取向問卷	<input type="checkbox"/>
3. Self-Certification Form (Controlling Person) (for Substantial Shareholders holding >25% of issued share capital of a passive NFE) 自我證明表格(控權人) (適用於被動非財務實體中擁有>25%已發行股本的主要股東)	<input type="checkbox"/>
4. Deed of Guarantee & Indemnity 擔保和彌補保證契據	<input type="checkbox"/>
5. Margin Facility Agreement (applicable to Margin Account) 保證金融資之確認(適用於保證金帳戶)	<input type="checkbox"/>
6. Company W8BEN-E Form or W-8IMY Form 公司客戶 W8BEN-E 表格 或 W-8IMY 表格	<input type="checkbox"/>
7. Board Minutes / Resolution for Account Opening 確認開立帳戶之董事會會議紀錄/決議案	<input type="checkbox"/>
Corporation incorporated in Hong Kong under the Companies Ordinance needs to provide the certified true copies of 根據香港《公司條例》在香港註冊成立的法團須提供以下經認證的真確副本	
1. Memorandum & Articles of Associations and other constitutional document of the Company 公司組織章程大綱及細則及其他規章	<input type="checkbox"/>
2. Register of Directors and Register of Shareholders 董事註冊名錄及股東註冊名錄	<input type="checkbox"/>
3. Ownership structure identifying the individuals ultimately own the corporate client (for companies with multiple layers in ownership structure) 擁有權結構以核實最終實益擁有人身份(適用於有多層擁有權的公司)	<input type="checkbox"/>
4. Significant Controllers Register (applicable to company incorporated in Hong Kong) or Beneficial Owners Register (applicable to offshore company incorporated in any jurisdiction requesting such register to be maintained) 重要控制人登記冊 (適用於香港成立之公司) 或實益擁有人名單 (適用於在任何要求保存此名單的司法管轄區成立之離岸公司)	<input type="checkbox"/>
5. Latest Annual Return 最近的周年申報表	<input type="checkbox"/>
6. Business Registration Certificate 商業登記證書	<input type="checkbox"/>
7. Latest audited accounts 最近經審核的帳目	<input type="checkbox"/>
8. ID Cards(Both Sides)/Passports of all shareholders, directors and authorized person(s) 所有股東、董事及獲授權人的身份證或護照副本	<input type="checkbox"/>
9. Residential address proof of all shareholders, directors and authorized person(s) within the last 3 months 所有股東、董事及獲授權人的三個月內之住址證明	<input type="checkbox"/>
10. Bank account proof 銀行帳戶證明	<input type="checkbox"/>
11. Address proof of the Company within the last 3 months 三個月內之公司地址證明	<input type="checkbox"/>
An overseas corporation incorporated in the British Virgin Islands (“BVI”) under the BVI Business Companies Act (“BVI Act”) needs to provide the certified true copies of the above documents by a lawyer or certified public accountant or notary public practicing in Hong Kong and also needs to provide: 根據英屬處女群島《BVI 商業公司法》成立的法團須提供上述經由在香港執業的律師或會計師或公證人核實的文件副本及以下文件:	
12. Certificate of Good Standing of the Company issued by the Registrar of Corporate Affairs in the BVI dated within 6 months 由 BVI 公司事務處長簽發的公司迄今仍註冊成立證書, 須於六個月內簽發	<input type="checkbox"/>
13. Certificate of Incumbency dated within 6 months 現況證明書, 須於六個月內簽發	<input type="checkbox"/>

Notes 注意事項

- Any deletion or amendment of the personal information must be signed by all account holders
任何有關個人資料的刪改必須由全部帳戶持有人簽署作實
- All cheques should be crossed, non-bearer and made payable to “Mouette Securities Company Limited”
所有支票必須劃線並抬頭 “海盈證券有限公司”
- All monies payable to the account holder will be credited to the designated bank account nominated on this Form, unless otherwise instructed.
帳戶持有人的款項將會存入本表格內所提供的指定銀行帳戶, 除非另行通知。
- Third-party deposit will not be accepted. Any exception is subject to prior management approval.
海盈證券恕不接受第三者存款。任何例外情況都需要管理層的預先批准。