

東皓證券有限公司 SUNFUND SECURITIES LIMITED

香港中環德輔道中 55 號協成行中心 18 樓
 18th Floor, Hip Shing Hong Centre, No. 55 Des Voeux Road Central, Hong Kong
 Tel 電話: 2292 5563 Fax 傳真: 2292 5555
 CE NO 中央編號: BHV050 Website 網址: www.sunfund.com.hk

Account No 帳戶號碼: _____

Date 日期: _____

AE Code: _____

Account Opening Form (Corporate Account) 開戶表格(公司帳戶)

<input type="checkbox"/> Securities Account (Cash) 證券帳戶(現金)	<input type="checkbox"/> Electronics Trading 電子交易服務
<input type="checkbox"/> Securities Account (Margin) 證券帳戶(保證金)	Password Delivery 密碼發送 <input type="checkbox"/> By email 電郵 <input type="checkbox"/> By mail 郵寄

(I) Corporate Information 公司資料

Company Name (English) 公司名稱	Nature of Entity (e.g. private or public limited company) 公司性質 (私人或公共有限公司)
Date of Incorporation 註冊日期	Scope of Business 業務範圍
Place of Incorporation 註冊地點	Contact Person/Tel. Number 聯絡人/電話
C.I. No 註冊證書號碼	Office Tel. Number 辦公室電話
B.R. No. in H.K. 香港商業登記證號碼	Fax Number 傳真號碼
Registered Office 註冊辦事處	E-MAIL Address 電郵地址
Business Address 業務地址	
Send statement & contract note to: 帳戶結單及交易單據送遞至	<input type="checkbox"/> E-MAIL Address 電郵地址
Send other correspondence to 其他通信送遞至	<input type="checkbox"/> Registered Office 註冊辦事處
Correspondence Address 聯絡地址	<input type="checkbox"/> Business Address 業務地址
	<input type="checkbox"/> Address Below 以下地址
	<input type="checkbox"/> E-MAIL Address 電郵地址
	<input type="checkbox"/> Registered Office 註冊辦事處
	<input type="checkbox"/> Business Address 業務地址
	<input type="checkbox"/> Address Below 以下地址

(II) Shareholder(s) and Beneficial Owner(s) Information 股東及實益擁有人資料

(Please insert ✓ here if extra information sheet is attached. 若額外資料列於在附件，請在此加上✓)

Name of Shareholder and Beneficial Owner 股東及實益擁有人姓名	CI / HKID card / Passport No 公司註冊證明書 / 香港身份證 / 護照號碼	Date & Place of Incorporation / Birth & Nationality 公司註冊 / 出生日期、地點及國籍	Contact Tel. 聯絡電話	Control % 控股權百分比	Residential and permanent address (for individual) / Business address (for corporation) 住宅及永久地址 (適用於個人) / 公司地址 (適用於公司)

(III) Director(s) Information 董事資料

(Please insert here if extra information sheet is attached. 若額外資料列於在附件，請在此加上)

Name of Director 董事姓名	HKID card /Passport No 香港身份證/護照號碼	Place of Birth & Nationality 出生地點及國 籍	Contact Tel. 聯絡電話	Residential address 住宅地址

(IV) Financial Profile 財務狀況

Paid Up Capital 繳足股本 (in HK\$ 港幣):	Liquid Assets 流動資產 (in HK\$ 港幣):
Net Asset Value 資產淨值 (in HK\$ 港幣):	Latest Annual Profit after Tax 最近年度除稅後利潤 (in HK\$ 港幣):

(V) Investment Experience and Objective 投資經驗及目標

Experience with Investment Product 投資產品經驗					
<input type="checkbox"/> Stocks 證券	<input type="checkbox"/> Nil 沒有	<input type="checkbox"/> <1 year 年	<input type="checkbox"/> 1-3 years 年	<input type="checkbox"/> 3-5 years 年	<input type="checkbox"/> >5 years 年
<input type="checkbox"/> CBBC 牛熊證	<input type="checkbox"/> Nil 沒有	<input type="checkbox"/> <1 year 年	<input type="checkbox"/> 1-3 years 年	<input type="checkbox"/> 3-5 years 年	<input type="checkbox"/> >5 years 年
<input type="checkbox"/> Warrants 衍生權證 (窩輪)	<input type="checkbox"/> Nil 沒有	<input type="checkbox"/> <1 year 年	<input type="checkbox"/> 1-3 years 年	<input type="checkbox"/> 3-5 years 年	<input type="checkbox"/> >5 years 年
<input type="checkbox"/> Futures/Options 期貨/期權	<input type="checkbox"/> Nil 沒有	<input type="checkbox"/> <1 year 年	<input type="checkbox"/> 1-3 years 年	<input type="checkbox"/> 3-5 years 年	<input type="checkbox"/> >5 years 年
<input type="checkbox"/> Funds 基金	<input type="checkbox"/> Nil 沒有	<input type="checkbox"/> <1 year 年	<input type="checkbox"/> 1-3 years 年	<input type="checkbox"/> 3-5 years 年	<input type="checkbox"/> >5 years 年
<input type="checkbox"/> Bonds 債券	<input type="checkbox"/> Nil 沒有	<input type="checkbox"/> <1 year 年	<input type="checkbox"/> 1-3 years 年	<input type="checkbox"/> 3-5 years 年	<input type="checkbox"/> >5 years 年
<input type="checkbox"/> Others 其他 _____	<input type="checkbox"/> Nil 沒有	<input type="checkbox"/> <1 year 年	<input type="checkbox"/> 1-3 years 年	<input type="checkbox"/> 3-5 years 年	<input type="checkbox"/> >5 years 年
Estimated Investment Amount 估計投資金額					
<input type="checkbox"/> <= \$100,000 <input type="checkbox"/> \$100,001 - \$1,000,000 <input type="checkbox"/> \$1,000,001 - \$5,000,000 <input type="checkbox"/> \$5,000,001 - \$10,000,000 <input type="checkbox"/> >\$10,000,000					
Investment Objective 投資目標 (choose ONE only 只選一項)					
<input type="checkbox"/> Speculation 投機		<input type="checkbox"/> Capital Gain 資本增值		<input type="checkbox"/> Hedging 對沖	
<input type="checkbox"/> Dividend Yield 股息回報					
<input type="checkbox"/> Others 其他 _____					
Investment Time Horizon 投資年期					
<input type="checkbox"/> <1 year 年 <input type="checkbox"/> 1-5 years 年 <input type="checkbox"/> 6-10 years 年 <input type="checkbox"/> >10 years 年					
We wish to purchase the following derivative product(s) which is/are traded on an exchange 吾等希望購入以下可在交易所買賣之衍生產品					
<input type="checkbox"/> Callable Bull/Bear Contracts (CBBC) 牛熊證 / Derivative Warrants 衍生權證 (窩輪) / Exchange-Traded Funds (ETFs) 交易所買賣基金					
Knowledge of Derivative Products 對衍生產品的認識：					
<input type="checkbox"/> 1. We underwent training or attended courses on derivative products. 吾等曾接受有關衍生產品的培訓或修讀相關課程。					
<input type="checkbox"/> 2. We have current or previous work experience related to derivative products. 吾等現時或過去擁有與衍生產品有關的工作經驗。					
<input type="checkbox"/> 3. We have executed five or more transactions within the past three years in derivative products, e.g. Derivative Warrants, Callable Bull/Bear Contracts, Stock Options, Index Futures and Options, Commodities Futures, Structured Products, and Exchange-Traded Funds adopting synthetic replication, etc. 吾等於過去 3 年內曾執行過 5 次或以上有關衍生產品的交易，例如：衍生權證、牛熊證、股票期權、指數期貨及期權、商品期貨、結構性產品及合成複製策略的交易所買賣基金等。					
<input type="checkbox"/> 4. We do not have any knowledge of derivative products. 吾等並未有衍生產品之認識					
SSL has accessed the Client based on the information provided above, and have notified the Client that it is compulsory to understand derivative products before trading them. SSL has also warned the Client about the product nature, characteristics and risk associated with derivative products. 東皓證券已根據以上資料對客戶進行評估，並已通知客戶買賣衍生產品前必須對相關產品具備足夠的認識，及已提醒客戶要注意衍生產品之產品性質、特性及風險。					

(VI) Settlement Bank Information 交收銀行資料 (For Fund Deposit Only 只供入數之用)

Currency 貨幣	Name of Bank 銀行名稱	Account Number 戶口號碼
HKD 港元		
USD 美金		
RMB 人民幣		

(VII) Authorised Person(s) Information 授權操作帳戶人資料

Particulars of Authorised Person(s) 授權人資料	Group 組別	Signature(s) of Authorised Person(s) 授權人簽署
Name 姓名: HKID No. 身份證號碼: Contact No. 聯絡電話:		
Name 姓名: HKID No. 身份證號碼: Contact No. 聯絡電話:		
Name 姓名: HKID No. 身份證號碼: Contact No. 聯絡電話:		
Name 姓名: HKID No. 身份證號碼: Contact No. 聯絡電話:		
Name 姓名: HKID No. 身份證號碼: Contact No. 聯絡電話:		
Signing Instruction 簽署指示 <input type="checkbox"/> Any one of Authorised Person(s) 任何一位授權人的指示 <input type="checkbox"/> Any two Authorised Persons 任何兩位授權人的共同指示 <input type="checkbox"/> Any ____ from Group ____ & any one from Group ____ jointly 組別 ____ 中任何 ____ 位授權人及組別 ____ 中任何 ____ 位授權人的共同指示		

(VIII) Declaration 聲明

Identity Declaration 身份聲明	
Are you acting as an intermediary for the account? 閣下是否以中介人身份操作帳戶? If yes 如是, Name of the ultimate beneficial owner(s) 戶口最終權益擁有人名稱: _____ ID/Passport No. 身份證/護照號碼: _____ Phone No 電話號碼: _____	<input type="checkbox"/> YES 是 <input type="checkbox"/> NO 否
Are you a licensed corporation licensed by or a registered institution registered with the Securities and Futures Commission ("SFC") under the Securities and Futures Ordinance? 閣下是否為證券及期貨條例中所定義的由證券及期貨事務監察委員會發牌的持牌法團或註冊機構? If yes, CE No. is 如是, 中央編號為 _____	<input type="checkbox"/> YES 是 <input type="checkbox"/> NO 否
Does any director, shareholder or authorised person of your corporation have any relationship with any substantial shareholder, director or employee of SSL or its associated companies? 貴公司之任何董事、股東或授權人是否與東皓證券或其關聯公司之主要股東、董事或僱員有任何關係? If yes 如是, Name of associated company (if applicable) 關聯公司名稱 (如適用): _____ Name of shareholder/director/employee* 股東/董事/僱員* 名稱: _____ Relationship 關係: _____	<input type="checkbox"/> YES 是 <input type="checkbox"/> NO 否
Is any director, shareholder or authorized person of your corporation a client of SSL or their respective associated companies? 貴公司之任何董事、股東或授權人士是否東皓證券或其關聯公司的客戶? If yes 如是, Account Name 帳戶名稱: _____ Account No 帳戶號碼: _____	<input type="checkbox"/> YES 是 <input type="checkbox"/> NO 否
Is any director, shareholder or authorized person of your corporation a staff of SSL or their respective associated companies? 貴公司之任何董事、股東或授權人士是否東皓證券或其各自之聯營公司的職員? If yes 如是, Name of staff 職員名稱: _____	<input type="checkbox"/> YES 是 <input type="checkbox"/> NO 否
Are you a U.S. citizen (e.g. holding U.S. Passport) or U.S. resident alien (e.g. holding U.S. green card)? 閣下是否為美國公民 (持有美國護照) 或美國居民 (持有美國綠卡)? If yes, please fill in Form W-9. Otherwise, please fill in Form W-8BEN. 如是, 請填寫 W-9 表格, 否則請填寫 W-8BEN 表格。	<input type="checkbox"/> YES 是 <input type="checkbox"/> NO 否
Is any director, shareholder or authorized person of your corporation an employee of a licensed corporation or a registered institution under the Securities and Futures Ordinance (whether the relevant person is currently a SFC licensed person /HKMA registered relevant individual or not)? 貴公司之任何董事、股東或授權人士是否為任何根據證券及期貨條例中的持牌法團或註冊機構之僱員 (不管相關人士現時是否為證監會持牌人士/金管局註冊有關人士)? If yes, the relevant person must provide consent letter from his/her employer 如是, 相關人士必須出示其僱主之授權信 Name of Licensed Corporation/Registered Institution 持牌法團/註冊機構名稱: _____ Position 職位: _____ CE No. 中央編號: (Employer 僱主) _____ / (Employee 僱員) _____ (If any 如有)	<input type="checkbox"/> YES 是 <input type="checkbox"/> NO 否

Related Account(s) 相關帳戶			
<p>Does your corporation have any related account(s) with SSL? 貴公司是否持有東皓證券的其他關聯帳戶? Relationship 關係: 1. Corporate account of the same name 同一名稱的公司帳戶 2. Corporate account of the same group 同一集團內的公司帳戶 3. Personal account or Corporate account of the substantial shareholder, either alone or with the spouse, in control of 35% or above of the voting rights 主要股東單獨或與配偶共同控制 35% 或以上的表決權之私人帳戶或公司帳戶</p>			<input type="checkbox"/> YES 是 <input type="checkbox"/> NO 否
Name of Account 帳戶名稱	Control % 控股權百分比	Account No. 帳戶號碼	Relationship 關係 1 2 3
_____	_____	_____	1 2 3
_____	_____	_____	1 2 3
_____	_____	_____	1 2 3

Use of Personal Data in Direct Marketing 使用個人資料作直接促銷用途

We, as the account holder, are hereby informed that SSL and/or any of the holding companies/subsidiaries associated with SSL (collectively "SSL Group Companies") intends to use and transfer within SSL Group Companies the personal data of us and various individuals related to this account (collectively "Data Subjects") for the direct marketing of: (i) financial services and investment products; (ii) related promotion schemes; (iii) financial and investment advices; or (iv) promotional and marketing events of SSL Group Companies for the aforesaid services or products. Such personal data includes the Data Subjects' name, contact details, financial background and statistical data which are provided to SSL Group Companies under this Account Opening Form or obtained by SSL Group Companies from time to time. We understand that we may, at any time, require SSL Group Companies to cease to use or transfer within SSL Group Companies the Data Subjects' personal data for direct marketing through such channel prescribed by SSL Group Companies.

吾等，作為帳戶持有人，現獲告知東皓證券及/與之有關的任何控股/子公司(統稱“東皓集團公司”)擬使用及在東皓集團公司之間轉移吾等及各與本帳戶有關人士(統稱“資料當事人”)之個人資料以直接促銷: (i) 金融服務和產品; (ii) 相關優惠計劃; (iii) 金融與投資建議; 或 (iv) 東皓集團公司就前述產品及服務之業務推廣和宣傳活動。該等資料當事人的資料包括吾等在本開戶表格中向東皓集團公司提供的及東皓集團公司不時獲得的姓名、聯絡詳情、財務背景及統計資料等個人資料。吾等明白吾等可以隨時通過東皓集團公司指定的渠道要求東皓集團公司停止在直接促銷中使用吾等的個人資料。

We agree to the aforesaid use of the Data Subjects' personal data in SSL Group Companies.
吾等同意東皓集團公司如上情況使用資料當事人之個人資料。

We agree to the aforesaid transfer of the Data Subjects' personal data within SSL Group Companies
吾等同意如上情況在東皓集團公司之間轉移資料當事人之個人資料。

We object to the use of or transfer within SSL Group Companies the Data Subjects' personal data by SSL Group Companies in direct marketing.
吾等反對東皓集團公司使用或在東皓集團公司之間轉移資料當事人的個人資料作直接促銷用途。

(IX) Acknowledgement and Execution by the Client 客戶確認及簽署

1. We, hereby confirm and represent that the information on this Account Opening Form is true, complete and correct. SSL is entitled to rely fully on such information and representations for all purposes, unless SSL receives notice in writing of any change of information contained on this Account Opening Form. SSL or any of its agents is hereby authorized at any time to contact anyone, including our banks or any credit agency, for the purpose of verifying the information provided on this Account Opening Form.
吾等謹此聲明在本開戶表格所提供之資料全部為真實、完整及正確，除非東皓證券接到更改有關本開戶表格內容之書面通知，否則東皓證券有權完全依賴此等資料及聲明作一切用途。東皓證券或其代理獲授權可隨時就核對本開戶表格資料事宜，與任何人包括吾等之銀行或任何信用機構進行核實。

2. We, hereby confirm that we have been provided the Client Agreement ("the Agreement") of SSL, the Terms of Electronic Trading Services (if applicable) and the Risk Disclosure Statement — Securities Trading Account in a language of my/our choice (English or Chinese), receipt of copy of which is hereby acknowledged by us. We acknowledge that we have read and understood the content of the aforementioned documents.
吾等確認東皓證券已按吾等選擇的語言(英文或中文)提供了客戶協議書(“該協議書”)、及電子交易服務條款(如適用)及風險披露聲明書 — 證券交易帳戶之副本。吾等確認吾等已閱讀及明白以上文件之內容。

3. We, hereby apply to open the types of account(s) and service(s) which we choose on the front page of this Account Opening Form and confirm that we have read and understand the relevant provisions of the attached Client Agreement and accept and agree to be bound by the Agreement as the same may be amended from time to time, and we hereby give you notice in writing that we confirm and authorize SSL to exercise all powers of the Standing Authorization under the Client Agreement. We understand and agree that Sunfund Securities shall have absolute rights to amend, delete or substitute any of the terms herein or add new terms to the Agreement (including but not limited to the Fees and Charges Schedule). We acknowledge that we should visit the company website (<https://www.sunfundsecurities.com.hk/>) from time to time for obtaining the latest Agreement and read the terms thereof. Such amendment, deletion, substitution or addition shall be deemed as effective and incorporated herein (and shall form part of the Agreement) on the date of publication of such amendment notice. We understand that we may raise written objection within seven (7) days after the publication of such amendment notice at the SSL Website. Failing which, it shall be deemed an acceptance of such amendment, deletion, substitution or addition.
吾等現申請開立吾等在本開戶表格頁首所選擇之帳戶及服務類別。吾等確認已閱讀並明白附上之客戶協議書內所有有關條款並且接受及同意收可不時被修改的協議書之條款所約束，吾等在此以書面通知、及確認並授權東皓行使在客戶協議書內全部的常設授權。吾等明白及同意東皓證券有絕對權利修訂、刪除或替代本協議(包括但不限於“費用及收費”的條款)內的任何條款或增加新條款。吾等應不時登入公司網站(<https://www.sunfundsecurities.com.hk/>)以獲得最新之本協議並細閱其條款。該等修訂、刪除替代或增加的條款將於修訂通知刊載當日生效及納入本協議內(並構成本協議的一部分)。吾等可於修訂通知在東皓網站上刊載當日後七(7)日內提出書面反對，否則將被視為接受該等修訂、刪除、替代或增加的條款。

4. We request SSL to open a securities trading account (“the Account”) for us and agree to abide by the rules and regulations of the Exchange or any other regulatory body(ies) as amended from time to time governing the purchase and sale of securities quoted on the Exchange or any other stock exchanges.
吾等要求東皓為吾等開立證券買賣帳戶(“該帳戶”)並同意遵守聯交所及其他監管機構不時修訂以監管於聯交所或其他交易所進行證券買賣之條例及規則。
5. We, further acknowledge and confirm that we have been invited by SSL to read the Risk Disclosure Statement — Securities Trading Account and the Terms of Electronic Trading Services (if applicable); ask questions and take independent advice, if we so wish.
吾等進一步確認東皓已經邀請吾等閱讀風險披露聲明書 — 證券交易帳戶及電子交易服務條款(如適用); 提出問題及徵求獨立的意見(如吾等有此意願)。
6. We want to use the internet securities trading service. We have read and understood the provisions of the Terms of Electronic Trading Services as set out in the Standard Terms and Conditions of the Agreement and we accept to be bound by the same (if applicable).
吾等欲使用互聯網證券交易服務, 吾等已經閱讀並明白在該協議書內的標準條款及細則中所載之電子交易服務條款的細則, 並接受這些條款的約束(如適用)。
7. We, have carefully read, fully understood and agreed to accept and be bound by the Personal Information Collection Statement of the Agreement.
吾等已仔細閱讀、完全理解並同意接受及遵守該協議書內之個人資料收集聲明。
8. We understand and agree that the “Fee and Charges” may be updated from time to time and published at https://www.sunfundsecurities.com.hk/securities/fees_and_charges/
吾等明白及同意“費用及收費”會不定期更新, 並刊登於網頁 https://www.sunfundsecurities.com.hk/securities/fees_and_charges/ 內。
9. We agree that SSL shall be entitled to deposit all moneys or funds held in the securities account and all moneys received for or on account of the Client with one or more accounts at one or more licensed banks. Any interest accrued on such moneys or funds shall belong to SSL absolutely. We hereby expressly waive any or all rights, claims and entitlements whatsoever to such interest.
吾等同意東皓證券有權將證券帳戶中所有款項或資金, 以及為客戶收取的所有款項存放在一間或多間持牌銀行的一個或多個帳戶內, 而該等款項或資金累算的任何利息, 均屬於東皓證券所有。吾等謹此明確地放棄該利息附帶的任何或所有權利、索償權及享有權。

Date 日期: _____

Signed by Client 客戶簽署	Company Chop 公司印章
Name of Authorized Person 授權代表名稱	Position 職位

(X) Certification of Client Signature and Identity Proof (if applicable) 見證客戶簽署及身份證明文件驗證 (如適用)

If this Account Opening Form is not executed in front of SSL's SFC licensed employee or is not submitted with a cheque, a specified person, including any SFC licensed or registered person, a Justice of Peace, or professional such as a Branch Manager of a bank, Certified Public Accountant, lawyer or Notary Public, should be required to sign below. The specified person should provide us with self-certified ID copy and copy of the professional qualification documents.

若本開戶表格並非在東皓證券之證監會持牌僱員面前簽立或並非連同支票一併遞交, 則以下部分應由指定人士, 包括其他證監會持牌人或註冊人、太平紳士或專業人士例如銀行分行經理、執業會計師、律師或公證人, 簽署驗證。而該指定人士需提供其已簽署之身份證明文件副本及其專業資格證明文件之副本。

The undersigned person hereby certify the signing of this Account Opening Form (together with the Client Agreement) by the above Client(s) and witness of related identity documents of such Client(s) :

以下簽署人士謹此見證上述客戶簽立此文件(連同客戶協議書)及其有關的身份證明文件:

Date 日期: _____

Signed and Certified by 簽署及見證人	Name 姓名	Profession / Title 所屬專業及職銜
Address 地址		Contact No. 聯絡電話

(XI) Declaration by Licensed Staff 持牌職員聲明

I, a registered person, declare that I have provided the above Client with a copy of the Risk Disclosure Statement — Securities Trading Account in a language of the Client's choice and invited the Client to read the Risk Disclosure Statement — Securities Trading Account, ask questions and take independent advice if the Client so wishes.

本人，以持牌人士身份，確認本人已按照上述客戶所選擇的語言提供風險披露聲明書 — 證券交易帳戶之副本及邀請客戶閱讀該風險披露聲明書 — 證券交易帳戶、提出問題及徵求獨立意見(如客戶有此意願)。

The signature(s) of the above Client(s) was/were made in my presence.

以上客戶簽署乃於本人面前簽立。

Date 日期: _____

Signed by Staff 職員簽署	Name of Staff 職員姓名	CE Number 中央編號
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(XII) 本公司內部使用

<input type="checkbox"/> 客戶年滿 18 歲 <input type="checkbox"/> 身份證/護照副本 <input type="checkbox"/> 最近三個月內附客戶姓名之住址證明 <input type="checkbox"/> W-8BEN 表格 (如適用) <input type="checkbox"/> W-9 表格 (如適用) <input type="checkbox"/> 核實簽署之支票 (如需要) <input type="checkbox"/> 其他	佣金收費: _____ 交易限額/信貸限額: _____ 客戶介紹人: _____		
資料輸入:	資料核對:	帳戶批核:	密碼發送: