

# 東皓證券有限公司SUNFUND SECURITIES LIMITED

香港中環夏慤道12號美國銀行中心10樓 1004室

Account No. 帳戶編號: \_\_\_\_\_

Unit 1004, 10/F, Bank of America Tower, No.12 Harcourt Road, Central, Hong Kong

Tel 電話: 2292 5563

Fax 傳真: 2292 5555

Date 日期: \_\_\_\_\_

CE No. 中央編號: BHV 050

Website 網址: www.sunfundsecurities.com.hk

AE Code: \_\_\_\_\_

## Account Opening Form (Individual Account) 開戶表格 (個人賬戶)

<input type="checkbox"/> Securities Account (Cash) 證券帳戶 (現金)	<input type="checkbox"/> Internet Trading 電子交易服務
<input type="checkbox"/> Securities Account (Margin) 證券帳戶 (保證金)	

### (I) Personal Information 個人資料

English Name 英文姓名	Mr./Ms.	Mobile Number 流動電話
Chinese Name 中文姓名	先生/女士	Home Tel. Number 住宅電話
ID/Passport No. 身份證/護照號碼		Office Tel. Number 辦公室電話
Nationality 國籍		Email Address 電郵地址
Place of Birth 出生地點	<input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> Other: 其他	Date of Birth 出生日期
Residential and Permanent Address 住宅及永久地址		
Correspondence Address 通訊地址		
Send statement & contract note to: <input type="checkbox"/> Email Address 電郵地址 <input type="checkbox"/> Residential Address 住宅地址 <input type="checkbox"/> Correspondence Address 通訊地址 帳戶結單及交易單據送遞至		

### (II) Education & Employment Status 教育及工作狀況

Education Level 教育程度	<input type="checkbox"/> Primary or below 小學或以下	<input type="checkbox"/> Secondary 中學	<input type="checkbox"/> Tertiary or above 大專或以上
Name of Employer 雇主名稱	Nature of Business 業務性質	Position 職位	Year with Employer 任職年期
Business Address 工作地點			

### (III) 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		

**(IV) Financial Profile 財務狀況**

Annual Income 每年收入 (in HK\$ 港幣)				
<input type="checkbox"/> <= \$120,000	<input type="checkbox"/> \$120,001 – \$360,000	<input type="checkbox"/> \$360,001 – \$600,000	<input type="checkbox"/> \$600,001 – \$1,200,000	<input type="checkbox"/> > \$1,200,000
Total Net Asset 資產淨值(in HK\$ 港幣)				
<input type="checkbox"/> <= \$500,000	<input type="checkbox"/> \$500,001 – \$1,000,000	<input type="checkbox"/> \$1,000,001 – \$5,000,000	<input type="checkbox"/> >\$5,000,000	
Ownership of Residence 住宅業權				
<input type="checkbox"/> Owned 自置 ( <input type="checkbox"/> Mortgaged 按揭/ <input type="checkbox"/> without Mortgage 無按揭) <input type="checkbox"/> Rented 租用 <input type="checkbox"/> Owned by relative 親屬擁有房產				
Sources of Fund/Wealth 資金/財富來源				
<input type="checkbox"/> Salary 薪金 <input type="checkbox"/> Reserves 退休金/ 儲備 <input type="checkbox"/> Return of Investment 投資收入 <input type="checkbox"/> Others 其他: _____				

**(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"/> Virtual Assets 虛擬資產	<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					
<input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Dividend Yield 股息回報 <input type="checkbox"/> Speculation 投機 <input type="checkbox"/> Capital Gain 資本增值					
<input type="checkbox"/> Others 其他 _____					
Investment Time Horizon 投資年期					
<input type="checkbox"/> Short Term 短線 <input type="checkbox"/> Medium Term 中線 <input type="checkbox"/> Long Term 長線					
<input type="checkbox"/> I wish to purchase the following derivative product(s) which is/are traded on an exchange 本人希望購入以下可在交易所買賣之衍生產品 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. I underwent training or attended courses on derivative products. 本人曾接受有關衍生產品的培訓或修讀相關課程。 <input type="checkbox"/> 2. I have current or previous work experience related to derivative products. 本人現時或過去擁有與衍生產品有關的工作經驗。 <input type="checkbox"/> 3. I 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, etc. 本人於過去 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、結構性產品及交易所買賣基金等。 <input type="checkbox"/> 4. I do not have any knowledge of derivative products. 本人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。 <input type="checkbox"/> I do not wish to trade the derivative product(s) which is/are traded on an exchange 本人不希望交易在交易所買賣之衍生產品					

## (VI) Declaration 聲明

<b>Identity Declaration 身份聲明</b>	
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
Do you have any relationship with any substantial shareholder, director or employee of SSL or its associated companies? 閣下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? 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
Are you a U.S. citizen (e.g. holding a 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
Are you an employee of a licensed corporation under the Securities and Futures Ordinance, or a registered institution under the Banking Ordinance (whether you are currently a SFC licensed person/HKMA registered person or not)? 閣下是否為任何根據證券及期貨條例註冊機構之僱員 (不管閣下現在是否為證監會持牌人士/金管局註冊人士)? If yes, you must provide consent letter from your employer 如是, 必須出示僱主之授權信 Licensed Corporation/Registered Institution Name 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
<b>Related Account(s) 相關帳戶</b>	
Does the spouse of the Client have an account with SSL? 客戶的配偶是否持有東皓證券的帳戶? Name of Spouse 配偶姓名: _____ Account No. 帳戶號碼: _____	<input type="checkbox"/> YES 是 <input type="checkbox"/> NO 否
Does the Client, either alone or with the spouse, is/are in control of 35% or more of the voting rights of any corporate client of SSL? 客戶是否單獨或與配偶共同控制任何東皓證券的公司客戶 35%或以上之表決權? Name of corporate client 公司客戶姓名: _____ Account No. 帳戶號碼: _____	<input type="checkbox"/> YES 是 <input type="checkbox"/> NO 否
<b>Consent for Personal Data 個人資料同意書</b>	
<p>I, 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 me 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. I 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. 本人, 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本人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本人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。本人明白本人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。</p> <p><input type="checkbox"/> I agree to the aforesaid use of the Data Subjects' personal data in SSL Group Companies. 本人同意東皓集團公司如上述情況使用資料當事人之個人資料。</p> <p><input type="checkbox"/> We object to the use of or transfer within SSL Group Companies the Data Subjects' personal data by SSL Group Companies in direct marketing. 本人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。</p>	

## (VII) Self-Certification of Tax Residency Status and Declaration 稅務居民身分自我證明及聲明

**Important Notes 重要提示：**

This is a self-certification provided by account applicant to SSL for the purpose of automatic exchange of financial account information. The information collected by SSL may be transmitted by SSL to the Inland Revenue Department for transfer to the tax authority of another jurisdiction(s). You should report all changes in your tax residency status to SSL.

這是由賬戶申請人向東皓證券提供的自我證明，以作自動交換財務賬戶資料用途。東皓證券可把收集所得的資料交給稅務局，稅務局會將資料轉交到另一稅務管轄區的稅務當局。如閣下的稅務居民身分有所改變，應盡快將所有變更通知東皓證券。

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」）\*

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong identity card number. If a TIN is unavailable, please provide the appropriate reason of the followings:

如帳戶持有人是香港稅務居民，稅務編號是其香港身份證號碼。如沒法提供稅務編號，請必須填寫以下合適的理由：

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

理由A – 帳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. Please explain why the account holder is unable to obtain a TIN if you have selected this reason.

理由B – 帳戶持有人不能取得稅務編號。如選取這一理由，請解釋帳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 – 帳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帳戶持有人披露稅務編號。

Jurisdiction of Residence 居留司法管轄區	TIN 稅務編號	# Please enter reason A, B or C if no TIN is available # 如沒有提供稅務編號，請填寫理由 A, B 或 C	Please explain why the account holder is unable to obtain a TIN if you have selected reason B 如選取理由 B，請解釋帳戶持有人不能取得稅務編號的原因
1.			
2.			

**Declaration 聲明**

☐ I acknowledge and agree:

本人知悉及同意：

*# Delete as appropriate # 刪去不適用者*

(a) the information contained in this form is collected and may be kept by the financial institution 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 financial institution 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). I certify that I am the account holder / I am authorized to sign for the account holder # of all the account(s) to which this form relates. I undertake to advise Sunfund Securities Limited of any change in circumstances which affects the tax residency status of the individual identified in Part 1 of this form or causes the information contained herein to become incorrect, and to provide Sunfund Securities Limited with a suitably updated self-certification form within 30 days of such change in circumstances. I declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete.

財務機構可根據《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。本人證明，就與本表格所有相關的帳戶，本人是帳戶持有人 / 本人獲帳戶持有人授權簽署本表格。本人承諾，如情況有所改變，以致影響本表格第1部所述的個人的稅務居民身分，或引致本表格所載的資料不正確，本人會通知東皓證券有限公司，並會在情況發生改變後30日內，向東皓證券有限公司提交一份已適當更新的自我證明表格。本人聲明就本人所知所信，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 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《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。

**(VIII) Personal Information Collection Statement under Hong Kong Investor Identification Regime (HKIDR) and Over-the-counter Securities Transactions Reporting Regime (OTCR)**

**關於香港投資者識別碼制度及場外證券交易報告制度下的個人資料收集聲明**

I acknowledge and agree that Sunfund Securities Limited may collect, store, process, use, disclose and transfer personal data relating to me (including my Customer Identification Data (“CID”) and Broker-to-Client Assigned Number (“BCAN(s)”) as required for SSL to provide services to me in relation to securities listed or traded on the Stock Exchange of Hong Kong (SEHK) and for complying with the rules and requirements of SEHK and the Securities and Futures Commission (SFC) in effect from time to time. Without limiting the foregoing, this includes –

本人明白並同意東皓證券為了向本人提供與在香港聯合交易所（聯交所）上市或買賣的證券相關的服務，以及為了遵守不時生效的聯交所與證券及期貨事務監察委員會（證監會）的規則和規定，本公司可收集、儲存、處理、使用、揭露及轉移與本人有關的個人資料（包括閣下的客戶識別資訊及券商客戶編碼）。在不限制以上的內容的前提下，當中包括：

- a) disclosing and transferring my personal data (including CID and BCAN(s)) to SEHK and/or the SFC in accordance with the rules and requirements of SEHK and the SFC in effect from time to time.

根據不時生效的聯交所及證監會規則及規定，向聯交所及 / 或證監會披露及轉移本人的個人資料（包括客戶識別資訊及券商客戶編碼）；

- b) allowing SEHK to: (i) collect, store, process and use my personal data (including CID and BCAN(s)) for market surveillance and monitoring purposes and enforcement of the Rules of the Exchange of SEHK; and (ii) disclose and transfer such information to the relevant regulators and law enforcement agencies in Hong Kong (including, but not limited to, the SFC) so as to facilitate the performance of their statutory functions with respect to the Hong Kong financial markets; and (iii) use such information for conducting analysis for the purposes of market oversight; and

允許聯交所：(i) 收集、儲存、處理及使用本人的個人資料（包括客戶識別資訊及券商客戶編碼），以便監察及監管市場及執行《聯交所規則》；(ii) 向香港相關監理機關及執法機關（包括但不限於證監會）揭露及轉移相關資料，以便他們就香港金融市場履行其法定職能；及(iii) 為監察市場目的而使用相關資料進行分析；及

- c) allowing the SFC to: (i) collect, store, process and use your personal data (including CID and BCAN(s)) for the performance of its statutory functions including monitoring, surveillance and enforcement functions with respect to the Hong Kong financial markets; and (ii) disclose and transfer such information to relevant regulators and law enforcement agencies in Hong Kong in accordance with applicable laws or regulatory requirements.

允許證監會：(i) 收集、儲存、處理及使用客戶的個人資料（包括客戶識別資訊及券商客戶編碼），以便其履行法定職能，包括對香港金融市場的監管、監察及執法職能；及(ii) 依適用法例或監理規定向香港相關監理機關及執法機關揭露及轉移相關資料。

- d) providing BCAN to Hong Kong Securities Clearing Company Limited (HKSCC) allowing HKSCC to: (i) retrieve from SEHK (which is allowed to disclose and transfer to HKSCC), process and store my CID and transfer your CID to the issuer's share registrar to enable HKSCC and/ or the issuer's share registrar to verify that my have not made any duplicate applications for the relevant share subscription and to facilitate IPO balloting and IPO settlement; and (ii) process and store my CID and transfer my CID to the issuer, the issuer's share registrar, the SFC, SEHK and any other party involved in the IPO for the purposes of processing my application for the relevant share subscription or any other purpose set out in the IPO issuer's prospectus.

向香港中央結算有限公司（香港結算）提供券商客戶編碼以允許香港結算：(i) 從聯交所取得、處理及儲存允許披露及轉移給香港結算屬於本人的客戶識別信息，及向發行人的股份過戶登記處轉移本人的客戶識別信息，以便核實本人未就相關股份認購進行重複申請，以及便利首次公開招股抽籤及首次公開招股結算程序；及(ii) 處理及儲存本人的客戶識別信息，及向發行人、發行人的股份過戶登記處、證監會、聯交所及其他公開招股的有關各方轉移本人的客戶識別信息，以便處理本人對有關股份認購的申請，或為載於公開招股發行人的招股章程的任何其他目的。

I also agree that despite any subsequent purported withdrawal of consent by me, my personal data may continue to be stored, processed, used, disclosed or transferred for the above purposes after such purported withdrawal of consent.

本人同意，即使本人其後宣稱撤回同意，在本人宣稱撤回同意後，仍可繼續儲存、處理、使用、披露或轉移本人的個人資料以作上述用途。

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

本人如未能向東皓提供個人資料或上述同意，可能意味著東皓不會或不能夠再（視情況而定）執行本人的交易指示或向本人提供證券相關服務，惟出售、轉出或提取本人現有的證券持倉（如有）除外。

“BCAN” means a “Broker-to-Client Assigned Number”, being a unique identification code in the format prescribed by SEHK, generated by a relevant licensed or registered person in accordance with SEHK's requirements. “CID” means the “Client Identification Data”, the following information in relation to a client to whom a BCAN is assigned: (i) the full name of the client as shown in the client's identity document; (ii) the issuing country or jurisdiction of the identity document; (iii) the identity document type; and (iv) the identity document number.

「券商客戶編碼」指一個符合連結所訂明的格式及由相關持牌人或註冊人依聯交所的規定產生的唯一標識符；「客戶辨識資訊」指與獲編配券商客戶編碼的客戶有關的以下資料：(i) 客戶的身分證明文件上所示的全名；(ii) 身分證明文件的

簽發國家或司法管轄區；(iii) 身分證明文件類別；及 (iv) 身分證明文件號碼。

### Acknowledgement and Consent 確認及同意

I acknowledge I have read and understand the contents of Hong Kong Investor Identification Regime and Over-the-counter Securities Transactions Reporting Regime Personal Information Collection Statement of Sunfund Securities Limited. I hereby agree that Sunfund Securities Limited will use my personal data in accordance with the terms and purposes of the Personal Data Collection Statement on Hong Kong Investor Identification Regime and Over-the-counter Securities Transactions Reporting Regime.

本人確認本人已閱讀並了解東皓證券有限公司的香港投資者識別碼制度及場外證券交易匯報制度個人資料收集聲明內容。本人表示本人同意東皓證券有限公司根據關於香港投資者識別碼制度及場外證券交易匯報制度個人資料收集聲明中的條款和目的使用本人之個人資料。

☐ I **agree** to the above client consent 本人同意上述「客戶同意書」

☐ I **disagree** to the above client consent 本人不同意上述「客戶同意書」

## (IX) Account Standing Authority 帳戶常設授權

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

除非另有說明，本授權之名詞與《證券及期貨條例》、《證券及期貨（客戶款項）規則》及《證券及期貨（客戶證券）規則》不時修訂之定義具有相同意義。

Authority under Securities and Futures (Client Money) Rules in relation to client money (For all accounts and businesses)

根據《證券及期貨（客戶款項）規則》關於客戶款項所設立之常設授權（適用於所有帳戶及業務）

I authorize Sunfund Securities Limited to:

本人授權東皓證券有限公司：

1. Combine or consolidate any or all segregated accounts of any name whatsoever and either individually or jointly with others, maintained by Sunfund Securities Limited from time to time and Sunfund Securities Limited may transfer any sum of Monies to and between such segregated account(s) to satisfy my/our obligations or liabilities to any member of Sunfund Securities Limited, whether such obligations and liabilities are actual or contingent, primary or collateral, secured or unsecured, or joint or several; and  
合併或綜合東皓證券有限公司，所維持的任何或全部獨立帳戶，此等組合或合併活動可以個別地或與其他帳戶聯合進行，以履行本人/吾等對東皓證券有限公司任何成員的義務或法律責任，不論此等義務和法律責任是確實或或然的、原有或附帶的、有抵押或無抵押的、共同或分別的；及
2. Transfer any sum of Monies interchangeably between any of the segregated accounts maintained at any time by any member of Sunfund Securities Limited; and  
從東皓證券有限公司任何成員於任何時間維持的任何獨立帳戶之間來回調動任何數額之款項；及
3. Transfer any sum of Monies to the client account(s) of any clearing firm(s) or financial institution(s) in Hong Kong or overseas for the purpose of trading or meeting the settlement or my/our financial obligations in my/our trading in Hong Kong or overseas through that clearing firm(s) or financial institution(s); and  
轉帳任何金額之款項至任何香港或海外清算行或金融機構的客戶帳戶，以應付交易用途、交收或本人/吾等經該清算行或金融機構所要履行的財務責任；及
4. Exchange my/our money into any other currency(ies).  
將本人/吾等的款項兌換至任何貨幣。

Authority under Securities and Futures (Client Securities) Rules in relation to client securities (For Margin Account and Financial Accommodation Service Only)

根據《證券及期貨（客戶證券）規則》關於客戶證券所設立之常設授權（僅適用於保證金證券帳戶及財務融通服務）

This authority is given pursuant to the Securities and Futures (Client Securities) Rules, I/We may authorize and/or instruct Sunfund Securities Limited to deal, from time to time, with the Securities and/or securities collateral received or held on my/our behalf in one or more of the following ways:

本授權依據《證券及期貨（客戶證券）規則》，本人/吾等授權及/或指示東皓證券有限公司不時以以下一種或多種方式處置代其收取或持有的證券及/或證券抵押品：

1. To apply any of the Client Securities or Securities Collateral pursuant to the Client Agreement; and  
根據客戶協議，運用任何證券或證券抵押品；及
2. To deposit Client Securities with an authorized financial institution as collateral for financial accommodation provided to Sunfund Securities Limited (For Margin Account only); and  
將客戶證券存放於認可財務機構，作為提供予東皓證券有限公司的財務融通的抵押品（適用於保證金證券帳戶）；及

3. To deposit or lend Client Securities with any clearing house recognized by the SFC or another intermediary licensed or registered for dealing in Securities as collateral for the discharge and satisfaction of my/our settlement obligations and liabilities towards Sunfund Securities Limited (For Margin Account only); and  
將客戶證券存放於或出借給獲證監會認可的任何結算所或另一持牌或註冊進行證券交易的中介人，作為解除及清償本人/吾等對東皓證券有限公司的交收責任及債務的抵押品（適用於保證金證券帳戶）；及
4. To apply any of the Client Securities or Securities Collateral in accordance with paragraphs 1,2,3 and 4 (if applicable) above if Sunfund Securities Limited 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 activities of which it is licensed; and  
倘東皓證券有限公司在證券買賣過程中向本人/吾等提供財務融通，並且亦在其獲許可進行的任何其他受規管活動過程中向本人/吾等提供財務融通，則可根據上文第1、2 及3 段（如適用）動用客戶證券或證券抵押品；及
5. To treat and deal with the Client Securities or Securities Collateral and in such manners as Sunfund Securities Limited consider appropriate taking into account any applicable legal and regulatory requirements from time to time.  
按照東皓證券有限公司經考慮不時的適用法律及規管規定而認為適當的方式，處理及處置證券及證券抵押品。

I/We hereby agree that Sunfund Securities Limited may perform any of the above without providing me/us prior notice.

本人/吾等同意東皓證券有限公司可不向本人/吾等預先發出通知而採取上述行動。

This authority is given to Sunfund Securities Limited in consideration of its agreement to continuously maintain my/our account with Sunfund Securities Limited. The authority is given without prejudice to other authorities or rights which Sunfund Securities Limited may have in relation to dealing in the Monies and Client Securities in the segregated accounts.

本授權乃鑑於東皓證券有限公司同意延續本人/吾等於東皓證券有限公司之帳戶。此賦予東皓證券有限公司之授權並不損害東皓證券有限公司可享有有關處理該等獨立帳戶內款項及客戶證券的其他授權或權利。

This Authority is valid for a period of not more than twelve months from the date hereof.

本授權的效期為本授權書日期起不超過 12 個月。

I/We may revoke this authority at any time by providing 14 days' written notice addressed to the Customer Service Department of Sunfund Securities Limited at the address listed above. Such revocation shall not take effect until Sunfund Securities Limited has actually received such written notice and shall not affect any transaction undertaken by Sunfund Securities Limited under this Authority prior to such revocation taking effect.

本人/吾等隨時可以向東皓證券有限公司客戶服務部位於上述所列明之地址提前 14 天發出書面通知，以撤回本授權。該等撤回通知將於東皓證券有限公司實際收到該書面通知後才會生效，且不會影響在該撤回生效前東皓證券有限公司已根據此授權進行的任何交易。

Such notice shall take effect upon the expiry of 14 days from the date of Sunfund Securities Limited's actual receipt of such notice.

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

本人/吾等明白東皓證券有限公司若在本授權的有效期屆滿前14 日之前，向本人/吾等發出書面通知，提醒本人/吾等本授權即將屆滿，而本人/吾等沒有在此授權屆滿前反對此授權續期，本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被續期。

I/We hereby agree to indemnify Sunfund Securities Limited and keep Sunfund Securities Limited indemnified, from and against all losses, damages, interests, costs, expenses, actions, demands, claims or litigation which you may incur as a consequence of any transaction under this standing authority.

本人/吾等謹此同意賠償東皓證券有限公司及使東皓證券有限公司因根據本常設授權進行任何交易而可能蒙受及/或招致的一切損失、賠償、利息、費用、開支、法律行動、付款要求、申索或訴訟獲得賠償。

### **(X) Acknowledgement and Execution by the Client 客戶確認及簽署**

1. I 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 my/our banks or any credit agency, for the purpose of verifying the information provided on this Account Opening Form.

本人謹此聲明在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. I hereby confirm that I 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 choice (English or

Chinese), receipt of copy of which is hereby acknowledged by me/us. We acknowledge that we have read and understood the content of the aforementioned documents.

本人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”）、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。本人確認已閱讀及明白以上文件之內容。

3. I hereby apply to open the types of account(s) and service(s) which I chose on the front page of this Account Opening Form and confirm that I 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 I hereby give you notice in writing that I confirm and authorize SSL to exercise all powers of the Standing Authorization under the Client Agreement. I understand and agree that Sunfund Securities Limited 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). I acknowledge that I should visit the company website (<https://www.sunfundsecurities.com.hk/>) from time to time to obtain 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. I understand that I 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.

本人現申請開立本人在本開戶表格頁首所選擇之帳戶及服務類別。本人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，本人在此以書面通知、及確認並授權東皓行在客戶協議書內全部的常設授權。客戶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。本人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）。本人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. I request SSL to open a securities trading account (“the Account”) for me and agree to abide by the rules and regulations of the Exchange or any other regulatory body as amended from time to time governing the purchase and sale of securities quoted on the Exchange or any other stock exchanges.

本人要求東皓證券為本人開立證券買賣帳戶（“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. I further confirm that the following Licensed Person has already explained the Form herewith including but not limited to the Risk Disclosure Statement as set out in the Client Agreement, to me in the language I choose. I hereby understood and accepted all the aforesaid contents and provisions. I also acknowledge that I am invited to ask questions and seek independent advice if I so wish.

本人進一步確認東皓證券已根據本人所選擇的語言，向本人解釋此表格包括但不限於客戶協議書內的風險披露聲明書，本人已完全明白及接受所有內容及細則。本人亦確認獲邀請提出問題及徵求獨立的意見（如本人有此意願）。

6. I want to use the internet securities trading service. I 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 I accept to be bound by the same (if applicable). 本人欲使用互聯網證券交易服務，本人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交易服務條款的細則，並接受這些條款的約束（如適用）。

7. I have carefully read, fully understood and agreed to accept and be bound by the Personal Information Collection Statement of the Agreement.

本人已仔細閱讀、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. I understand and agree that the “Fee and Charges” may be updated from time to time and published at

本人明白及同意“費用及收費”會不定期更新，並刊登的於網頁

[https://www.sunfundsecurities.com.hk/securities/fees\\_and\\_charges/](https://www.sunfundsecurities.com.hk/securities/fees_and_charges/)

9. I 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. I hereby expressly waives any or all rights, claims and entitlements whatsoever to such interest.

本人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。本人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。

Signed by Client 客戶簽署

Date 日期

Account Name 客戶名稱



**(XI) Certification of Client Signature and Identity Proof 見證客戶簽署及身份證明文件驗證**

If this Account Opening Form is not executed in front of SSL's SFC licensed employee or is not submitted with a cheque, a specific 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 document.

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，則一下部分應由指定人士，包括其他證監會持牌人或註冊人，太平紳士或專業認識例如銀行分行經理、執業會計師、律師或公證人，簽驗證。而該指定人士需提供其已簽署之身份證明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. 聯繫電話

**(XII) Declaration by Licensed Staff 持牌職員聲明**

I, a registered person, have confirmed that I have  
本人，以持牌人士身份，確認已：

- provided the above Client with a copy of the Risk Disclosure Statement – Securities Trading Account in a language of the Client's choice  
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
- invited the Client to read it, ask questions, and take independent advice if the Client so wishes  
邀請客戶閱讀該聲明書、提出問題及徵求獨立意見（如客戶有此意願）

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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For Internal Use Only 本公司內部使用

<input type="checkbox"/> Client is age 18 or older <input type="checkbox"/> ID/Passport Copy <input type="checkbox"/> Address proof dated within 3 months <input type="checkbox"/> Form W-8BEN or Form W-9 <input type="checkbox"/> Cheque with verified signature(if applicable) <input type="checkbox"/> Others	<input type="checkbox"/> Standard commission rate 標準佣金收費: 0.25% min. \$100 <input type="checkbox"/> Other 其他佣金收費: _____		
	Trade/Loan Limit 交易限額/信貸限額: _____		
	Client referred by 客戶介紹人:	How long has referrer known the Client 介紹人認識客戶多久: <input type="checkbox"/> Less than a month 少於一個月 <input type="checkbox"/> Other 其他:	
Checked by 資料核對:	A/C Approved by 帳戶批核:	Input by 資料輸入:	Password sent by 密碼發送: