

# 個人/聯名帳戶開戶表格 Individual / Joint Account Opening Form

<b>亨達證券有限公司 Hantec Securities Company Ltd.</b> SFC Licensed Corporation 證監會核准持牌法團(CE# AFL779)			帳戶號碼 A/C No.	
處理分行/經紀 Process Location/AE		經紀代號 AE Code	帳戶名稱 A/C Name	Mr./Ms.
<b>A. 客戶個人資料 Client's Personal Information</b>			<b>客戶選擇之服務 (以'✓'號選擇 Please tick to choose)</b> <b>Client Choice of Service(s)</b>	
<input type="checkbox"/> 第一戶口持有人 1 <sup>st</sup> A/C Holder <input type="checkbox"/> 第二戶口持有人 2 <sup>nd</sup> A/C Holder		聯名帳戶持有人關係 Joint A/C Holders	交易帳戶 Trading Account(s)	<input type="checkbox"/> 現金帳戶(證券交易) Cash A/C (Securities Trading) <input type="checkbox"/> 保證金帳戶(港股交易適用) Margin A/C-HK Stock Only
姓名 English Name	先生/女士 Mr./Ms.		電子交易 服務 Electronic	<input type="checkbox"/> 香港股票 HK Stock
身份證/護照號碼 ID/Passport No.	國籍 Nationality			
出生日期及地點 Date and Place of Birth	YYYY_____ MM_____ DD_____ 地點 Place_____ 國家 Country_____			
本人(名字列上方)現向亨達證券有限公司申請開立右方列服務，共_____項。 I, the above named client, apply to set up with Hantec Securities Company Limited the above _____ service(s). <b>客戶簽署 Signed by Client :</b> _____				
密碼送遞(如適用) Password Delivery (if applicable) : <input type="checkbox"/> 親自到取 In person <input type="checkbox"/> 郵寄 By mail <input type="checkbox"/> 電郵 By E-mail				
<b>B. 客戶其他資料 Client's Other Information</b>				
<b>1. 聯絡資料 Contact Information</b>				
住址 Home Address <input type="checkbox"/> 與現有帳戶相同 same as existing account (已持有亨達帳戶者適用 Applicable for those having Hantec account) 室/樓/座/期 Flat/Floor/ Block/Phase _____ 大廈/屋苑 Building/Estate _____ 街道號數/街道/地段 Street No./Street/Lot _____ 地區/國家 District/ Country _____ <input type="checkbox"/> 香港 HK <input type="checkbox"/> 九龍 KLN <input type="checkbox"/> 新界/離島 NT/Outlying Island			住宅電話 Home No.	
			流動電話 Mobile No.	
			辦事處電話 Office No.	
			傳真號碼 Fax No.	
			<input type="checkbox"/> 以電郵收取研究報告 Subscribe Research Report by E-mail	
電郵地址 E-mail Address: _____				
證券帳戶日結單送遞至 Stock A/C Daily Statements to: <input type="checkbox"/> 電郵地址 E-mail Address <input type="checkbox"/> 家居地址 Home Address <input type="checkbox"/> 以下地址 Address Below 證券帳戶月結單送遞至 Stock A/C Monthly Statements to: <input type="checkbox"/> 電郵地址 E-mail Address <input type="checkbox"/> 家居地址 Home Address <input type="checkbox"/> 以下地址 Address Below 聯絡地址 Correspondence Address : _____ *帳戶日結單與月結單的郵寄地址必須相同 Mailing address of the daily statement and monthly statement should be the same 帳戶結單語言選擇 Language of the statement: <input type="checkbox"/> 繁體中文 Traditional Chinese <input type="checkbox"/> 英文 English				
*客戶不同意 貴集團使用其個人資料經以下渠道作直接促銷 I do not accept the Group to use my personal data in direct marketing via the following channel(s): <input type="checkbox"/> 電郵 E-mail <input type="checkbox"/> 流動電話訊息 Mobile Message <input type="checkbox"/> 郵件 Mail <input type="checkbox"/> 電話 Phone Call				

\*閣下沒有在以上任何格內加上「✓」號顯示閣下的選擇，即代表閣下並不拒絕本集團任何形式的直接促銷。閣下以上的選擇適用於本集團的《個人資料收集聲明》上所載的服務、產品及標的類別的直接促銷，詳情請閣下參考上述聲明。If you return this Form without ticking any of the above boxes, it means that you do not objected to any form of the Group's direct marketing. Your above choice applies to the direct marketing of the classes of services, products and subjects as set out in the Group's "Personal Information Collection Statement". Please refer to the aforesaid statement for details.

**2. 銀行戶口資料 Bank Account Record (只供入數之用 For Fund Deposit Only)** 與現有帳戶相同 same as existing account (已持有亨達帳戶者適用 Applicable for those having Hantec account)

銀行名稱(港元) :

戶口號碼(港元) :

Bank Name (HKD): \_\_\_\_\_ Account No (HKD): \_\_\_\_\_

如屬亨達聯名帳戶，支票付予 Payable to  聯名 Joint Name  第一戶口持有人 1<sup>st</sup> A/C Holder  第二戶口持有人 2<sup>nd</sup> A/C Holder in case of Joint A/C**3. 受僱資料 Employment Information (不可填寫全職投資者或近似作為職位 Full-time investors or equivalent will not be accepted as employment information)**

僱主名稱 Employer	業務類型 Business Type	職位 Position
工作地址 Business Address		任職年期 Years with Employer

**C. 客戶財政資料 Client Financial Information**

收入來源 Source of Income	每年收入 Annual Income	資產項目 Asset Items	估計資產淨值 Net Asset Worth
<input type="checkbox"/> 沒有 Nil	<input type="checkbox"/> <HK\$120,000	<input type="checkbox"/> 房產 Property	<input type="checkbox"/> <HK\$500,000
<input type="checkbox"/> 薪金 Salary	<input type="checkbox"/> HK\$120,000-	<input type="checkbox"/> 存款 Deposits	<input type="checkbox"/> HK\$500,000-HK\$1M
<input type="checkbox"/> 佣金 Commission	<input type="checkbox"/> HK\$300,000	<input type="checkbox"/> 證券 Listed Securities	<input type="checkbox"/> HK\$1M-HK\$3M
<input type="checkbox"/> 租金 Rent	<input type="checkbox"/> HK\$300,001-	<input type="checkbox"/> 債券/基金	<input type="checkbox"/> HK\$3M-HK\$5M
<input type="checkbox"/> 股息/利息	<input type="checkbox"/> HK\$500,000	<input type="checkbox"/> Bonds/Funds	<input type="checkbox"/> HK\$5M-HK\$10M
<input type="checkbox"/> Dividend/Interest	<input type="checkbox"/> HK\$500,001-HK\$1M	<input type="checkbox"/> 其他 Others: _____	<input type="checkbox"/> HK\$10M-HK\$50M
<input type="checkbox"/> 業務溢利 Business Profit	<input type="checkbox"/> HK\$1M-HK\$5M		<input type="checkbox"/> >HK\$50M
<input type="checkbox"/> Profit	<input type="checkbox"/> HK\$5M-HK\$10M		
<input type="checkbox"/> 其他 Others: _____	<input type="checkbox"/> >HK\$10M		

**D. 客戶投資經驗及目標 Client Investment Experience and Objective**

教育程度 Education Level	曾投資的產品 Experienced Projects	投資目標 Investment Objectives	估計投資金額 Estimated Investment Amount
<input type="checkbox"/> 小學或以下 Primary or below	<input type="checkbox"/> 證券 Stocks	<input type="checkbox"/> 短線 Short Term	<input type="checkbox"/> <HK\$100,000
<input type="checkbox"/> 中學 Secondary	<input type="checkbox"/> 認股權證 Warrants	<input type="checkbox"/> 中線 Medium Term	<input type="checkbox"/> HK\$100,000-HK\$500,000
<input type="checkbox"/> 大學或以上 Tertiary or above	<input type="checkbox"/> 期貨/期權 Futures/Options	<input type="checkbox"/> 長線 Long Term	<input type="checkbox"/> HK\$500,001-HK\$1M
投資經驗	<input type="checkbox"/> 外匯/黃金 Forex/Bullion	<input type="checkbox"/> 資本增值 Capital Appreciation	<input type="checkbox"/> HK\$1M-HK\$5M
<input type="checkbox"/> 少於 1 年 Less than a year	<input type="checkbox"/> 債券 Bonds	<input type="checkbox"/> 股息回報 Dividend Yield	<input type="checkbox"/> HK\$5M-HK\$10M
<input type="checkbox"/> 1-5 年 years	<input type="checkbox"/> 基金 Funds	<input type="checkbox"/> 對沖 Hedging	<input type="checkbox"/> >HK\$10M
<input type="checkbox"/> 6-10 年 years	<input type="checkbox"/> 沒有 Nil	<input type="checkbox"/> 投機 Speculation	
<input type="checkbox"/> 10 年以上 More than 10years	<input type="checkbox"/> 其他 Others: _____	<input type="checkbox"/> 其他 Others: _____	
<input type="checkbox"/> More than 10years			
<input type="checkbox"/> 沒有 Nil			

本人有意認購以下交易所買賣的衍生產品 I wish to purchase the following derivative product(s) which is/are traded on an exchange:

牛熊證 Callable Bull Bear Contracts  衍生權證(窩輪) Derivative Warrants  交易所買賣基金 Exchange Traded Funds (ETF)

本人對衍生產品的認識如下 My knowledge of derivative products are as followed:

本人已接受有關介紹一般衍生產品之性質及風險的培訓或課程(例如學術機構或金融機構所提供之課程)

I underwent training or attended courses on derivative products that provide general knowledge of the nature and risks of derivatives (e.g. courses offered by academic or financial institutions)

本人擁有與衍生產品有關之工作經驗

I have work experience related to derivative products

本人有相關之交易經驗，即本人於過去三年曾執行過五次或以上有關衍生產品之交易

I have relevant trading experience, i.e. I have executed five or more transactions in derivative products within the past three years

\*本人並未有衍生產品之認識

I do not have any knowledge of derivative products

\*即使閣下並未有衍生產品之認識，如閣下有意認購交易所買賣的衍生產品，亦可接受亨達就相關衍生產品所作出之風險解釋及完成問卷調查。When you do not have any knowledge of derivative products, you could accept Hantec's explanation on risks associated with derivative products and complete the questionnaire if you wish to purchase derivative products which are traded on an exchange.

## E. 客戶聲明 Declaration by Client

### 1. 身份聲明 Identity Declaration

閣下是否以中介人身份操作帳戶? Are you acting as an intermediary for the account? 如是，戶口的最終權益擁有人是 If yes, details of the ultimate beneficial owner(s) is/are 名稱 Name _____ 身份證/護照號碼 ID/Passport No. _____ 地址 Address _____	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
--	---

閣下與本公司職員是否有親戚關係? Do you have any relationship with any employee of our company? 如是 If yes, 職員名稱 Name: _____ 關係 Relationship: _____	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
---	---

閣下是否為任何根據證券及期貨條例註冊持牌法團或銀行業條例之註冊機構之僱員(不管閣下現時是否為證監會持牌代表/金管局註冊人士)? 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 representative/HKMA registered person or not)? 如是 If yes, 持牌法團/註冊機構名稱: Licensed Corporation/Registered Institution Name: _____ 職位 Position: _____ 中央編號 CE No.:(Employer 僱主)_____/ (Employee 僱員)_____ (If applicable 如適用)(必須出示所屬持牌法團或註冊機構之授權信 You must provide written approval from your accredited licensed corporation or registered institution)	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
	HKMA SFC <input type="checkbox"/> <input type="checkbox"/> Checked by

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)? Are you a U.S. citizen (e.g. holding U.S. Passport) or U.S. resident alien (e.g. holding U.S. green card)? 如是，請填寫 W-9 表格，否則請填寫 W-8BEN 表格。 If yes, please fill in Form W-9. Otherwise, please fill in Form W-8BEN.	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
---	---

閣下是否在其他持牌法團/註冊機構擁有戶口? Do you have accounts with other licensed corporation or registered institution? 如是 If yes, 持牌法團/註冊機構名稱 Name of licensed corporation or registered institution _____	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
---	---

戶口類別 A/C Type:  現金 Cash  保證金 Margin  股票期權 Stock Options  期貨 Futures  網上交易帳戶 Internet

**2. 關連保證金帳戶資料 Related Margin Account(s) Information 保證金帳戶適用(For Margin Accounts Only)**

閣下的配偶是否亨達證券有限公司的保證金客戶? Is your spouse a margin client of Hantec Securities Company Limited? 如是，其帳戶號碼為 If yes, whose Account No.: _____ 帳戶名稱 Account Name: _____	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
--	---

閣下是否單獨或與閣下的配偶共同控制任何亨達證券有限公司保證金帳戶 35%或以上投票權? Are you, either alone or with your spouse, in control of 35% or more of the voting rights of any corporate margin account of Hantec Securities Company Limited? 如是，該帳戶號碼為 If yes, Account No.: _____ 帳戶名稱 Account Name: _____	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
---	---

**F. 客戶確認及簽署 Acknowledgement and Execution by Client**

本人/吾等(在下面簽署的客戶)確認亨達證券有限公司(下稱“亨達”)已按 本人/吾等選擇的語言(英文或中文)提供了客戶協議書及風險披露聲明之副本。本人/吾等(在下面簽署的客戶)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，除非亨達接到更改有關本開戶表格內容之書面通知，否則亨達有權完全依賴此等資料及聲明作一切用途。亨達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 本人/吾等之銀行、經紀或任何信用機構進行諮詢。

本人/吾等(在下面簽署的客戶)現申請開立 本人/吾等在本開戶表格頁首選擇之帳戶及服務類別。本人/吾等確認已閱讀並明白附上之亨達證券有限公司客戶協議書(該協議書)的所有有關條款並且接受及同意可不時被修改的該協議書之條款所約束， 本人/吾等在此以書面通知、及確認並授權亨達行使在該協議書內的全部常設授權。

本人/吾等(在下面簽署的客戶)進一步確認亨達已經邀請 本人/吾等閱讀風險披露聲明，提出問題及徵求獨立的意見(如 本人/吾等有此意願)。

本人/吾等(在下面簽署的客戶)已仔細閱讀、完全理解並同意接受及遵守客戶協議書內之個人資料收集聲明。

I/We, the undersigned client(s) hereby confirm that I/We have been provided the Client Agreement(“the Agreement”) of Hantec Securities Company Limited (“Hantec”) and the Risk Disclosure Statement in a language of my/our choice (receipt of a copy whereof is hereby acknowledged by me/us).

I/We, the undersigned client(s) hereby confirm and represent that the information on this Account Opening Form is true, complete and correct. Hantec is entitled to rely fully on such information and representations for all purposes, unless Hantec receives notice in writing of any change. Hantec 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.

I/We, the undersigned client(s) hereby apply to open the types of account(s) and service(s) which I/We choose on the front page of this Account Opening Form and confirm that I/We have read and understood 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/We hereby give you notice in writing that I/We confirm and authorize Hantec to exercise all the powers of the Standing authorities under the Client Agreement.

I/We, the undersigned client(s) further acknowledge and confirm that I/We have been invited by Hantec to read the Risk Disclosure Statement, ask questions and take independent advice, if I/We wish.

I/We, the undersigned client(s) have carefully read, fully understood and agreed to accept and be bound by the Personal Information Collection Statement of the Agreement.

Date 日期: \_\_\_\_\_ 年 YY \_\_\_\_\_ 月 MM \_\_\_\_\_ 日 DD

客戶簽署 Signed by Client	客戶簽署 Signed by Client (聯名帳戶 Joint A/C)
客戶名稱 A/C Name	客戶名稱 A/C Name
聯名帳戶適用 For Joint Account only	<input type="checkbox"/> 所有帳戶書面指示須由兩位帳戶持有人同時簽署* All written instruction of the account should be jointly signed by both account holders*

\*如閣下並未選擇上述方格，書面指示簽署方式由亨達因應該指示風險程度釐定。If you don't tick the box, the format of the signature required will be determined by Hantec based on the risk level of the instruction you made.

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

若客戶/聯名客戶並非在亨達證券有限公司之指定僱員面前簽立本開戶表格或本開戶表格並非連同恰當的支票<sup>+</sup>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專業資格證明文件之副本。

If this Account Opening Form is not executed in front of Hantec Securities Co. Limited's SFC licensed employee or is not submitted with an appropriate cheque +, a specified person, including any SFC licensed or registered person, a Justice of Peace, a Branch Manager of a bank, Certified Public Accountant 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.

下述簽署人士謹此驗證上述客戶/聯名客戶簽立此文件(連同客戶協議書)及其有關的身份證明文件：

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

Date 日期：\_\_\_\_\_ 年 YY \_\_\_\_\_ 月 MM \_\_\_\_\_ 日 DD

簽署及驗證 Signed and Certified by	姓名 Name
	所屬專業及職銜 Profession/Title
聯絡電話 Contact No	聯絡地址 Address

+客戶在香港的持牌銀行開立的帳戶並由客戶所簽發(該簽名須與此開戶表上的客戶簽名相符)並載有客戶在其身份證明文件上所顯示的姓名的劃線支票，而該支票抬頭人須為“亨達證券有限公司”及其數額不得少於 10,000 港元。客戶被批核的新帳戶必須支票兌現才可使用。A crossed cheque bearing your name shown in your identity document and drawn on your account with a licensed bank in Hong Kong with your same signature(s) as shown on this Form in favour of “Hantec Securities Company Limited” for not less than HKD10,000. Your approved new account will not activated until the cheque is cleared.

## H. 職員聲明 Declaration by Staff

本人，以註冊人身份，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之副本及邀請客戶閱讀該風險披露聲明、提出問題及徵求獨立意見(如客戶有此意願)。I, a registered person, declare that I have provided the above client with a copy of the Risk Disclosure Statement in a language of the Client's choice and Invited the client to read the Risk Disclosure Statement, ask questions and take independent advice if the client so wishes.

#以上客戶簽署乃於本人面前簽立。The above Client signature(s) was/were made in my presence.

Date 日期：\_\_\_\_\_ 年 YY \_\_\_\_\_ 月 MM \_\_\_\_\_ 日 DD

職員簽署 Signed by Staff	職員姓名 Name of Staff
	中央編號 CE Number

##向客戶確認 Confirmation with client

客戶簽署 Signed by Client

總行 HQ/分行 Branch: \_\_\_\_\_ 內線 Ext.: \_\_\_\_\_ 或

時間 Time: \_\_\_\_\_ 時 HH \_\_\_\_\_ 月 MM \_\_\_\_\_ 日 DD Or

#如不適用者，必須刪去此句。This sentence must be deleted if not applicable.

##如#項已被刪去，此欄必須填寫。Please fill in this part if item with # is deleted.

## MARGIN CLIENT'S AUTHORISATION LETTER

### 保證金客戶授權函件 客戶款項常設授權

**To: Hantec Securities Co., Limited**

亨達證券有限公司

12/F, South China Building, 1-3 Wyndham Street, Central, Hong Kong.

香港中環雲咸街 1-3 號南華大廈 12 樓

Authority under Securities and Futures (Client Securities) Rule (Cap. 571H of Laws of Hong Kong) to deposit securities.

根據證券及期貨(客戶證券)規則第 571H 章 所提供有關存放證券的授權。

This letter of authority covers all securities purchased or held by Hantec Securities Co., Limited ("Hantec") on my/our behalf.

本授權書是有關一切由亨達證券有限公司(「亨達證券」)代表本人/吾等購入或持有之證券。

This letter authorize Hantec to 本授權書授權亨達證券：

1. Apply any of my/our securities or securities collateral pursuant to a securities borrowing and lending agreement;

依據證券借貸協議運用任何有關本人/吾等的證券或證券抵押品；

2. deposit any of my/our securities collateral with an authorized financial institution as collateral for financial accommodation provided to Hantec; or

將任何本人/吾等證券抵押品存放於認可財務機構，作為提供予亨達證券的財務通融的抵押品；或

3. deposit any of my/our securities collateral with 將任何本人/吾等證券抵押品存放於

(i) a recognized clearing house; or 認可結算所；或

(ii) another intermediary licensed or registered for dealing in securities, as collateral for the discharge and satisfaction of Hantec's settlement obligations and liabilities.

另一獲發牌或獲註冊進行證券交易的中介人，作為解除亨達證券在交收上的義務和清償亨達證券在交收上的法律責任的抵押品。

Hantec may do any of these things without giving me/us notice.

亨達證券可以做以上任何事情而無須通知本人/吾等。

Hantec is accountable to me/us for the return of equivalent securities deposited under this authority after full repayment by me/us of all outstanding loans under the facility.

當本人/吾等已全數清還本人/吾等就亨達證券所提供之信貸安排的所有未清償的貸款後，亨達證券將會繼續有責任向本人/吾等交還沒有產權負擔的相等證券。

I/We understand that a third party may have rights to my/our securities, which Hantec 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之第三者之權利，亨達證券須於全數抵償該等權利後，方可將本人/吾等的證券退回本人/吾等。

This authority is valid for period of 12 months form the date of this letter.

本授權書在協議的日期起計十二個月有效。

This authority may be deemed to be renewed (i.e. without my/our written consent) if Hantec issues me/us a reminder at least 14 days prior to the expiry of the authority, and I/we do not object to such deemed renewal before the expiry date of the authority.

假如亨達在有關授權的期限屆滿前最少 14 日向本人/吾等發出有關授權將被視為已續期的提示，而本人/吾等對於有關授權的期限屆滿前以此方式將該授權延續不表示反對，則該授權將會在沒有本人/吾等的書面同意下被視為已續期。

This letter has been fully explained to me/us in a language that I/we understand and I/we read and agreed to the terms of this letter.

本函件已全部經以本人/吾等明白的語言向本人/吾等解釋清楚。本人/吾等已詳閱並同意本函件的內容。

Signed by 客戶簽名

Name of Client 客戶姓名：

Date : 日期

## Standing Authority (Client Money)

### 客戶款項常設授權

To: **Hantec Securities Co., Limited**

亨達證券有限公司

12/F, South China Building, 1-3 Wyndham Street, Central, Hong Kong.

香港中環雲咸街 1-3 號南華大廈 12 樓

#### Authority under Securities and Futures (Client Money) Rules

根據《證券及期貨(客戶款項)規則》所設立的常設授權

This letter of authority covers money held or received by you in Hong Kong (including any interest derived from the holding of the money which does not belong to you) in one or more segregated account(s) on my/our behalf ("monies") 本授權涵蓋貴公司為本人/吾等在香港收取或持有並存放於一個或多個獨立賬戶內的款項(包括因持有並非屬於貴公司的款項而產生之任何利息)(下稱「款項」)。

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

除非另有說明，本授權書之名詞與證券及期貨條例及證券及期貨(客戶款項)規則不時修訂之定義具有相同意思。

This letter authorizes you to:

本授權書授權 貴公司：

1. Combine or consolidate any or all segregated accounts of any natures whatsoever and either individually or jointly with others, maintained by you from time to time and you may transfer any sum of Monies to and between such segregated account(s) to satisfy my/our obligations or liabilities to you, whether such obligations and liabilities are actual, contingent, primary or collateral, secured or unsecured, joint several; and 組合或合併 貴公司為吾等所維持的任何或全部獨立賬戶，此等組合或合併活動可以個別地或與其他賬戶聯合進行，貴公司可將該等獨立賬戶內任何數額之款項作出轉移，以解除本人/吾等對 貴公司的義務或法律責任，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 you.

從 貴公司於任何時候維持的任何獨立賬戶之間來回調動任何數額之款項。

You are authorized to perform any of the above-mentioned without giving me/us notice.

貴公司可不向本人/吾等發出通知而採取上述行動。

This authority is given to you in consideration of your agreeing to continue to maintain securities cash and/or margin account(s) for me/us.

此賦予 貴公司之授權乃鑑於 貴公司同意繼續維持本人/吾等之證券現金賬戶/或證券保證金賬戶。

This authority is given without prejudice to other authorities or rights which you may have in relation to dealing in Monies in the segregated accounts.

此賦予 貴公司之授權並不損害 貴公司可享有有關處理該等獨立賬戶內款項的其他授權或權利。

This authority is valid for a period of 12 months from the date of this letter.

本授權書的有效日期為十二個月，自本授權書之日起計生效。

This authority may be revoked by giving you written notice addressed to you at your address specified above. Such notice shall take effect upon the expiry of two weeks from the date of your actual receipt of such notice.

本人/吾等明白向 貴公司位於上述所列明之地址發出書面通知，撤回本授權書。該等通知之生效日期為 貴公司真正收到該等通知後之 14 日起計。

I/We understand that this authority shall be deemed to be renewed on a continuing basis without my/our written consent if you issue me/us 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 貴公司若在本授權書的有效期屆滿前 14 日之前，向本人/吾等發出書面通知，提醒本人/吾等授權書即將屆滿，而本人/吾等沒有在此授權屆滿前反對授權續期，本授權書應當作不需要本人/吾等的書面同意下按持續的基準已被續期。

In the event of any difference in interpretation or meaning between the Chinese and English version of this authority, I/we agree that the English version shall prevail.

倘本授權書的中文本與英文本在解釋或意義方面有任何歧義，本人/吾等同意應以英文為準。

This letter has been explained to me/us and I/we understand the contents of this letter.

本人/吾等就本授權書內容已獲得解釋，並且本人/吾等明白及同意本授權書的內容。

Client Signature:

客戶簽署 \_\_\_\_\_

A/C No.:

戶口號碼 \_\_\_\_\_

Date:

日期 \_\_\_\_\_

Account Name:

戶口名稱 \_\_\_\_\_

ID/Passport/CI No.:

身份證/護照/公司註冊號碼 \_\_\_\_\_

# Standing Authority (Client Securities)

## 常設授權

**To: Hantec Securities Co., Limited**  
**亨達證券有限公司**  
12/F, South China Building, 1-3 Wyndham Street, Central, Hong Kong.  
香港中環雲咸街 1-3 號南華大廈 12 樓

### Authority under Securities and Futures (Client Securities) Rules

根據《證券及期貨(客戶證券)規則》所設立的常設授權

This letter of authority is in respect of the treatment of my/our securities or securities collateral as set out below.

本授權書是有關處置本人/吾等之證券或證券抵押品，詳情如下：

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

除非另有說明，本授權書之名詞與證券及期貨條例及證券及期貨(客戶證券)規則不時修訂之定義具有相同意思。

This letter authorizes you to:

本授權書授權亨達證券有限公司：

1. Apply any of my/our securities or securities collateral pursuant to a securities borrowing and lending agreement; (apply to accounts where securities borrowing and lending agreement has been signed)  
依據證券借貸協議運用任何本人/吾等的證券或證券抵押品；(只適用於已簽妥證券借貸協議之戶口)
2. Deposit any of my/our securities collateral with an authorized financial institution as collateral for financial accommodation provided to you; (apply to margin accounts only)  
將任何本人/吾等的證券抵押品存放於認可財務機構，作為該機構向 貴公司提供財務通融之抵押品；(只適用於孖展客戶)
3. Deposit any of my/our securities collateral with Hong Kong Securities Clearing Company Limited ("HKSCC") as collateral for the discharge and satisfaction of your settlement obligations and liabilities. I/We understand that HKSCC will have a first fixed charge over my/our securities to the extent of your obligations and liabilities;  
將任何本人/吾等的證券抵押品存放於香港中央結算有限公司(「中央結算」)，作為解除 貴公司在交收上的義務和清償 貴公司在交收上的法律責任的抵押品。本人/吾等明白中央結算因應 貴公司的責任和義務而對本人/吾等的證券設定第一個固定押記；
4. deposit any of my/our securities collateral with any other recognized clearing house, or another intermediary licensed or registered for dealing in securities, as collateral for the discharge and satisfaction of your settlement obligations and liabilities; and  
將任何本人/吾等的證券抵押品存放於任何其他的認可結算所或任何其他獲發牌或獲註冊進行證券交易的中介人，作為解除 貴公司在交收上的義務和清償 貴公司在交收上的法律責任的抵押品；及
5. apply or deposit any of my/our securities collateral in accordance with paragraphs (1),(2),(3), and/or (4) above if you provide financial accommodation to me/us in the course of dealing in securities and also provide financial accommodation to me/us in the course of any other regulated activity for which you are licensed or registered.  
如 貴公司在進行證券交易及 貴公司獲發牌或獲註冊進行的任何其他受規管活動的過程向本人/吾等提供財務通融，即可按照上述第(1),(2),(3)及或第(4)段所述運用或存放任何本人/吾等的證券抵押品。

You are authorized to perform any of the above-mentioned without giving me/us notice. I/We acknowledge that this authority shall not affect your right to dispose any of my/our securities or securities collateral in settlement of any liabilities owed by or on behalf of me/us to you.

貴公司可不向本人/吾等發出通知而採取上述行動，本人/吾等認本授權書不影響 貴公司為解除由本人/吾等對 貴公司、貴公司之聯繫實體或第三者所負的法律責任，而處理或促使 貴公司的聯繫實體處置本人/吾等之證券或證券抵押品的權利。

This authority is given to you in consideration of your agreeing to continue to maintain the securities trading account(s) for me/us.

此賦予 貴公司之授權乃鑑於 貴公司同意繼續維持本人/吾等之證券交易賬戶。

I/We understand that a third party may have rights to my/our securities, which you 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者之權利， 貴公司須全數抵償該等權利後，方可將本人/吾等的證券退回本人/吾等。

This authority is valid for period of 12 months form the date of this letter.

本授權書的有效期限為十二個月，自本授權書之日起計有效。

This authority may be revoked by giving you written notice addressed to you at your address specified above. Such notice will take effect upon expiry of two weeks from the date of your actual receipt of such notice.

本人/吾等可以向 貴公司客戶服務部於上述所列明之地址發出書面通知，撤回本授權書。該等通知之生效日期為 貴公司真正收到該等通知後之 14 日起計。

I/We understand that this authority may be deemed to be renewed on a continuing basis without my/our written consent if you issue 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 貴公司若本授權書的有效期限滿前 14 日之前，向本人/吾等發出書面通知，提醒本人/吾等本授權書即將屆滿，而本人/吾等沒有在此授權屆滿前反對此授權續期，本授權書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。

In the event of any difference in interpretation or meaning between the Chinese and English version of this authority I/we agree that the English version shall prevail. 倘若本授權書的中文本與英文本在解釋或意義方面有任何歧義，本人/吾等同意應以英文本為準。

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

本人/吾等就本授權書的內容已獲得解釋，並且本人/吾等明白及同意本授權的內容。

Account Name: \_\_\_\_\_  
戶口名稱 \_\_\_\_\_  
ID/Passport/CI No.: \_\_\_\_\_  
身份証/護照/公司註冊號碼 \_\_\_\_\_

Client Signature: \_\_\_\_\_  
客戶簽署 \_\_\_\_\_  
A/C No.: \_\_\_\_\_  
戶口號碼 \_\_\_\_\_  
Date: \_\_\_\_\_  
日期 \_\_\_\_\_



<b>核對清單</b> <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(如適用) <input type="checkbox"/> 保留支票副本 <input type="checkbox"/> 香港持牌銀行支票 <input type="checkbox"/> 抬頭人為亨達證券有限公司 <input type="checkbox"/> 銀碼不少於 HK\$10,000 <input type="checkbox"/> 支票上之客戶名稱與本表格相符 <input type="checkbox"/> 支票上之客戶簽署與本表格相符 <input type="checkbox"/> 指定人士之身份證明及專業資格證明文件(如適用) <input type="checkbox"/> 重覆帳戶/黑名單帳戶 <input type="checkbox"/> 其他：_____	<b>客戶介紹人</b> (戶口號碼 _____) 經紀/分行名稱 (編號 _____) 與經紀認識 _____ 年 <hr/> <b>港股 HK\$</b> 普通 _____ %Min \$ 即日 _____ %Min \$ 網上 _____ %Min \$ 佣金代號 _____ %Min \$ 信貸限額 HK\$ _____ 客戶號碼 _____		
<b>開戶批核</b> _____ 批核人名稱 _____ 日期 _____	<b>密碼發送(港股)</b> _____ 經手人 _____ 日期 _____	<b>密碼發送(股票期權)</b> _____ 經手人 _____ 日期 _____	
<b>資料輸入 (港股)</b> 日期 _____	<b>資料核對 (港股)</b> 日期 _____	<b>資料輸入 (股票期權)</b> 日期 _____	<b>資料核對 (股票期權)</b> 日期 _____
<b>備註：</b>           			

同名人士之 CE/Registration No.	同名人士所屬之持牌法團/註冊機構 名義	本人進一步確認本人並非為任何根據證券及期貨條例註冊 持牌法團或銀行業條例之註冊機構之僱員  客戶簽署： _____ 職員簽署： _____  _____ 職員姓名： _____  _____ _____ 年__月__日      _____ 年__月__日