



加多利證券有限公司
Gary Cheng Securities Limited

Office Address 辦公室地址：
Unit 1201, Elite Centre, 22 Hung To Road, Kwun Tong, Kowloon, Hong Kong
香港九龍觀塘鴻圖道22號俊匯中心12樓01室
Tel. 電話：(852) 2199 6700 Fax. 傳真：(852) 2199 7381
CE No. 中央編號：BGB334 Broker No. 經紀編號：7288

Please Attach 請附上：

- A Certified Extract of Board Resolution 經認證之董事決議摘要
- A Certified copy of the Memorandum and Articles of Association of the Company 公司組織大綱及章程之認證副本
- HKID/ Passport copies with signatures for all director(s), shareholder(s) and authorized signer(s)
各董事、股東及獲授權人士簽名核實的香港身份證/護照副本

For Company incorporated in Hong Kong 適用於香港註冊公司

- A Certified copy of valid Business Registration Certificate 經認證之商業登記證
- A Certified copy of Certificate of Incorporation 經認證之公司註冊證
- Details of Directors in Forms D1, D2 or D3, and latest Annual Return 最近董事報表 (表格D1、D2或D3) 及最近公司年報
- Certified copy of address proof of Company's place of business in Hong Kong (Bank statement or utility bill etc)
公司地址證明文件影印本(如銀行月結單或公共事業繳款單等)

For Overseas Company 適用於開辦海外公司

- Certificate of Registration of Overseas Company issued by Registrar of Companies (applicable to overseas company)
香港特別行政區公司註冊署發的海外公司登記證明書(適用於海外公司)
- Registered Agent's Certificate 海外註冊代理人之證書
- Certificate of Good Standing 海外公司註冊官發發的良好記錄證
- Certified copy of the Register of Directors of the Client. 客戶的董事名冊核證副本。
- Certified copy of the Register of Members of the Client. 客戶的股東名冊核證副本。

Corporate Account 公司帳戶

Private & Confidential 資料保密

<input type="checkbox"/> Cash Account Code 現金帳戶號碼	<input type="checkbox"/> Internet Securities Trading Service 使用互聯網證券買賣服務
<input type="checkbox"/> Margin Account Code 保證金帳戶號碼	<input type="checkbox"/> Internet Securities Trading Service 使用互聯網證券買賣服務
Account Set Up Date 開戶日期	

Notes 注意事項：

- This form should be completed and signed by the Client in the presence of Gary Cheng employee or account executive. Otherwise, Please fill in Non-face to face Account Opening Application Section, also.
客戶必須在加多利的僱員或持牌經紀面前填妥及簽署本表格；如非親身開戶，請同時簽署非親身開戶部份
- Any deletion or amendment must be initiated by all account holders.
任何刪除或修改必須由客戶簡章作實。
- Third-Party cheque(s) cannot be used to settle any trading transaction.
不能以第三者支票交收。

THE APPLICANT'S PARTICULARS

申請人資料

Company Name (in English) 公司名稱 (中文)		Nature of Entity 組織類別		<input type="checkbox"/> Private Co. 私人公司 <input type="checkbox"/> Legal Body 法團 <input type="checkbox"/> Public Co. 公眾公司 <input type="checkbox"/> Overseas Co. 海外公司		營業額 Turnover <input type="checkbox"/> 50萬或以下 <input type="checkbox"/> 50萬以上	
Incorporation Registered No. 註冊成立編號		Business Registration No. 商業登記號碼		Place of Incorporation 法團成立地方		Date of Incorporation 註冊成立日期	
Registered Office Address 註冊成立國家之註冊地址 Flat/ Floor/ Bldg 室/樓/大廈		Business Tel No. 公司聯絡電話		Principal Place of Business 主要營業地址 Flat/ Floor/ Bldg 室/樓/大廈		Business Tel No. 公司聯絡電話	
Street/街		Business Fax No. 公司傳真號碼		Street/街		Business Fax No. 公司傳真號碼	
District 地區		Business E-mail 公司電郵		District 地區		Business E-mail 公司電郵	
<input type="checkbox"/> H.K. 香港 <input type="checkbox"/> KLN. 九龍 <input type="checkbox"/> N.T. 新界 <input type="checkbox"/> Local 本地 <input type="checkbox"/> Overseas 海外:				<input type="checkbox"/> H.K. 香港 <input type="checkbox"/> KLN. 九龍 <input type="checkbox"/> N.T. 新界 <input type="checkbox"/> Local 本地 <input type="checkbox"/> Overseas 海外:			
Authorized Person(s) 獲授權人士		(1)		(2)		(3)	
Name in English							
中文姓名							
Identity Card or Passport No. 身份證或護照號碼							
Residential Address 住址		Flat/ Floor/ Bldg 室/樓/大廈		Estate/ Court 屋苑		District 地區	
		Estate/ Court 屋苑		District 地區		District 地區	
		District 地區		District 地區		District 地區	
Contact No. 聯絡電話							
Fax No. 傳真							
Relationship with the Applicant 與申請人關係							
Job Title 職銜		<input type="checkbox"/> Director 董事 <input type="checkbox"/> Others 其他 _____		<input type="checkbox"/> Director 董事 <input type="checkbox"/> Others 其他 _____		<input type="checkbox"/> Director 董事 <input type="checkbox"/> Others 其他 _____	
Years of Service 服務年資							
Specimen Signature 簽名樣式							
Share Capital 股本							
Authorized Share Capital 法定股本		Value of Each Share 每股面值		Number of Shares Issued 已發行股數		Paid-up Capital 實收股本	
Substantial Shareholder 公司大股東		Registered Address 註冊地址					
Name of Designated Bank 指定往來銀行名稱		A/C No. 銀行帳戶號碼					
Method of Statement Collection 收取結單之方式		<input type="checkbox"/> Residential Address 住址 <input type="checkbox"/> Business/Office Address 公司地址 <input type="checkbox"/> Correspondence Address 通訊地址				Language of Statement 結單語言 <input type="checkbox"/> Chinese 中文 <input type="checkbox"/> English 英文	

KNOWLEDGE OF DERIVATIVES
對衍生工具的認識

Do you have knowledge of derivative product(s)? 你是否對衍生產品有認識?

<input type="checkbox"/> Yes 是 Please indicate one of the followings 並從以下途徑認知		<input type="checkbox"/> No 否
1) Attended training or courses that provide general knowledge of the nature and risks of derivatives 曾接受有關介紹一般衍生產品之性質及風險的培訓或課程	2) Relevant work experience related to derivative products 擁有相關衍生產品的工作經驗	
Name of Institution Providing Courses 提供相關課程之機構	Name of Employer 任職公司名稱	
Name of Course/ Seminar 課程/研討會名稱	Position 職銜	
Period Attended 參與時期 MM / YYYY - MM / YYYY	3) Executed at least 5 transactions in any derivative products within past 3 years 在過去三年執行過最少五次有關任何衍生產品的交易	
		<input type="checkbox"/> Callable Bull/ Bear Contracts (CBCB) 牛熊證 <input type="checkbox"/> Exchange Traded Funds (ETF) 交易所買賣基金 <input type="checkbox"/> Futures or Options 期貨或期權合約交易 <input type="checkbox"/> Others (Please specify) 其他 (請註明) <input type="checkbox"/> Derivative Warrants 衍生認股證 <input type="checkbox"/> Rights 供股權 <input type="checkbox"/> Stock Options 股票期權
FOR OFFICIAL USE ONLY 供本公司使用		Applicant is classified as 申請人已被分類為: <input type="checkbox"/> with Knowledge in Derivative Product(s) 對衍生產品有認識 <input type="checkbox"/> without Knowledge in Derivative Product(s) 對衍生產品沒有認識

IDENTITY DECLARATION
身份聲明

Is any director, substantial shareholder, ultimate beneficiary, ultimate principal beneficial owner or authorized Person of the Applicant:
申請人之任何董事、主要股東、最終實益持有人、最終主要實益持有人或授權人是否:

1) A senior officer or director of any listed company whose shares are traded on any exchange or market? (If yes, please specify the company name and stock code) 其股份在任何交易所或市場買賣的上市公司之高級人員或董事? (如是, 請說明公司名稱及上市編號)	2) A person licensed by or registered with the SFC or an employee of such organization? (If yes, please state CE no.) 香港證監會註冊人士或該公司的僱員 (如是, 請說明中央編號)	3) A relative of employee of Gary Cheng Securities Limited? (If yes, please state relationship.) 加多利證券有限公司僱員之親屬? (如是, 請陳述其關係)	4) A person holding prominent public office? (If yes, please specify) 擔任重要公職人士? (如是, 請說明)
<input type="checkbox"/> Yes 是 Company Name & Stock code 公司名稱及上市編號	<input type="checkbox"/> Yes 是 CE no. 中央編號	<input type="checkbox"/> Yes 是 Relationship 關係	<input type="checkbox"/> Yes 是 Position 職銜
<input type="checkbox"/> No 否	<input type="checkbox"/> No 否	<input type="checkbox"/> No 否	<input type="checkbox"/> No 否
5) The ultimate beneficiary of the account and transactions 帳戶及交易的最终實益持有人		6) Ultimately responsible for originating the instruction in relation to a transaction 最終負責作出交易指示的人士	
<input type="checkbox"/> No 否 Please fill in the details of ultimate beneficial owner(s) 須同時填寫最終實益持有人詳細資料		One of the above Authorized Person(s) <input type="checkbox"/> (1) <input type="checkbox"/> (3) 上述其中一名獲授權人士 <input type="checkbox"/> (2) <input type="checkbox"/> (4)	
<input type="checkbox"/> Yes 是	Name 姓名	Identity Card or Passport No. 身份證或護照號碼	Occupation 職業
	Relationship with Applicant 與申請人關係	Contact No. 聯絡電話	
	Address 地址	<input type="checkbox"/> Others 其他 Name 姓名 Identity Card or Passport No. 身份證或護照號碼 Contact No. 聯絡電話 Address 地址	
Gary Cheng Securities Limited normally will not accept Applicant who is not the ultimate beneficiary. 加多利證券有限公司通常不會接受非最終實益持有人之申請人			

For Margin Account Only
只適合保證金帳戶填寫

Is any member of the Group of Companies a margin client of Gary Cheng Securities Limited? If yes, please provide details
申請人集團任何成員是否加多利證券有限公司之孖展客戶? 如是, 請詳細說明

<input type="checkbox"/> Yes 是 Name of Member 成員名稱	<input type="checkbox"/> No 否
Account Code 帳戶號碼	
Is the Applicant at any time during the past 12 months, directly or indirectly connected or associated with any director, chief executive or substantial shareholders of Gary Cheng Securities Limited (connected person). If yes, please provide details 申請人在過去12個月內, 是否直接或間接跟加多利證券有限公司的任何董事、行政總裁、或主要股東有所關連(關連人士)? 如是, 請詳細說明。	
<input type="checkbox"/> Yes 是 Name of Connected person 關連人士名稱	<input type="checkbox"/> No 否

APPLICANT'S AGREEMENT & ACKNOWLEDGEMENT
申請人之協議及確認

Please indicate the type of Account you want to make by ticking "√" and signing the appropriate boxes below
請在以下適當的方格加上"√"並在相應空格內簽署

Client Account Opening Execution 客戶開戶執行指示	
<input type="checkbox"/> Cash Account 現金帳戶 Please open a Cash Account for us, the undersigned Client(s). We have read, understood and accepted the provisions of the Cash Client Agreement as set out in the Standard Terms and Conditions of Gary Cheng Securities Limited and We agree to be bound by the same. 請為我司(為下方簽署之客戶)開立現金帳戶。我已經閱讀並明白在加多利證券有限公司的標準章程中, 所載之現金帳戶協議的條款, 並接受這些條款的約束。	<input type="checkbox"/> Margin Account 保證金帳戶 Please open a Margin Account for us, the undersigned Client(s). We have read, understood and accepted the provisions of the Margin Client Agreement as set out in the Standard Terms and Conditions of Gary Cheng Securities Limited and We agree to be bound by the same. 請為我司(為下方簽署之客戶)開立保證金帳戶。我已經閱讀並明白在加多利證券有限公司的標準章程中, 所載之保證金帳戶協議的條款, 並接受這些條款的約束。
Authorized Signature (s) with Company Chop 獲授權人士簽署及公司印章 Date 日期:	<input checked="" type="checkbox"/> Witness Signature 見證人簽署 Witness Name Witness Occupation 見證人姓名 見證人職業 Date 日期
	Client's Initial 客戶簡簽

Cash Account 現金帳戶 Internet Securities Trading Service 互聯網股票買賣服務 Margin Account 保證金帳戶 Internet Securities Trading Service 互聯網股票買賣服務

We want to use the Internet Securities Trading Service. We have read, understood and accepted the provisions of the Internet Securities Trading Agreement as set out in the Standard Terms and Conditions of Gary Cheng Securities Limited and We agree to be bound by the same.

我同意使用互聯網證券交易服務。我已經閱讀並明白在加多利證券有限公司的標準章程中，所載之互聯網證券交易協議的條款，並接受這些條款的約束。

Authorized Signature (s) with Company Chop

獲授權人士簽署及公司印章

Date 日期:

⊗
Witness Signature
見證人簽署

Witness Name Witness Occupation
見證人姓名 見證人職業

Date 日期

Non-face to face Account Opening Application Only
只適用於非親身開戶人士

Declaration by Client
客戶聲明

In case We execute this Account Application not in the presence of a Gary Cheng Securities Limited licensed representative, or in case We execute this Account Application in accordance with any non-face to face procedures as may be permitted by the applicable laws and/or regulatory requirements, We confirm that we are aware that (1) Gary Cheng Securities Limited will contact us via telephone (follow-up call) to explain to us the Risk Disclosure Statements and, if applicable, the Risk Disclosure Information before permitting me to trade under any account to be opened under this Account Application, and (2) if We do not confirm that we fully understand and accept the relevant risks during such follow-up call, We can immediately withdraw this Account Application and have the Account Application Form and supporting documents returned to us.

若我非在一名加多利證券有限公司持牌代表前簽署此開戶申請表，或我可在適用法律及/或監管規定准許的情況下根據非親身開戶程序簽署此開戶申請表，我確知悉(1)在我獲准在根據此開戶申請表開立的帳戶內進行交易前，加多利證券有限公司將會電話聯絡本人(跟進電話)以解釋風險披露聲明或其風險披露資料(若適用);及(2)若我可在跟進電話中不確認我完全明白並接受有關的風險，我可以立刻取消有關申請並取回此開戶申請表及相關證明文件。

Authorized Signature (s) with Company Chop

獲授權人士簽署及公司印章

Date 日期:

Declaration by Witness
見證人聲明

I am a* Justice of the Peace/branch manager of a licensed bank/practicing lawyer/certified public accountant/notary public. I hereby certify that on the date above written in this Account Application was executed by the Applicant named in this Account Application (who had been previously identified by production of the original of his/her identity card or passport in my presence.

*Please delete as appropriate.

本人乃*太平紳士/持牌銀行分行經理/執業律師/執業會計師/公證人，本人證實：於以上所寫的日期當日，本開戶申請表乃由本開戶申請表所指定的申請人於本人面前簽訂。

*請刪去不適用者。

⊗
Witness Signature
見證人簽署

Witness Name Witness Occupation
見證人姓名 見證人職業

Date 日期

Declaration
聲明

Declaration by Client
客戶聲明

We, the undersigned Client(s) certify that the above information is accurate and complete. We are aware that Gary Cheng Securities Limited reserves the right to cancel our application at any time if the information given in this application is to be found untrue.

我(等)為下方簽署客戶，確認以上資料皆屬真實，我(等)明白若被發現任何刻意隱瞞之事實，加多利證券有限公司將保留取消此申請之權利。

We also confirm that the RISKS OF TRADING IN EXCHANGE-TRADED STRUCTURED PRODUCTS (e.g. derivative warrants, callable bull/bear contracts) contained in the above-mentioned Risk Disclosure Statements have been explained to us and We have understood the contents thereof.

我(等)確認已獲悉於以上風險披露聲明之「買賣交易所買賣之結構性產品及衍生工具(例如:衍生權證、牛熊證)的一些相關風險」之解釋，且我(等)已明白其內容。

We understand that Gary Cheng Securities Limited will rely on the above information to assess whether we have acquired the knowledge of derivative products.

本人(等)明白貴司將會根據以上資料來評核本人(等)是否對衍生產品有認識。

We acknowledge receipt of the Standard Terms and Conditions of Gary Cheng Securities Limited (Client Agreement)

我(等)確認已收取了加多利證券有限公司之標準章程(開戶協議書)。

We have read and fully understood the contents of this Account application and the Client Agreement and agreed to be bound by them.

我(等)已經閱讀並完全明白開戶申請表及客戶協議之內容，並同意受其等所約束。

We confirm that the Risk Disclosure Statements, and, if applicable, Risk Disclosure Information, in or accompanying the Client Agreement have been provided in a language of our choice (English or Chinese) and that We have read and accepted the nature and contents thereof. We appreciate that they are not and cannot be taken as a comprehensive or exhaustive list of all possible risks. We confirm that We have been given the opportunity to ask questions and seek independent advice if We so wish.

我(等)確認或附於客戶協議之風險披露聲明已按我(等)選擇之語言(英文或中文)提供予我(等)，及我(等)已閱讀、瞭解和接受其(等)(若適用)性質和內容。我(等)明白這不是一份完全或徹底列舉所有潛在風險的清單。此外，我(等)已被給予機會提出問題及徵求獨立的意見(若我(等)有此意願)。

Authorized Signature (s) with Company Chop

獲授權人士簽署及公司印章

Date 日期:

Declaration by Staff
職員聲明

I, a licensed or registered person, hereby declare that I have provided the client with a copy of the Risk Disclosure Statement and the Risk Disclosure Statement in the Internet Securities Trading Agreement (if applicable) in a language of the client's choice (English or Chinese)

本人，以持牌人或註冊人身份，確認本人已按照下方簽署客戶所選擇的語言(英文或中文)提供風險披露聲明及互聯網證券交易協議所載之風險披露聲明(如適用)。

I have invited the client to read the Risk Disclosure Statement referred to the Cash Client Agreement and/or the Margin Client Agreement, and the Risk Disclosure Statement in the Internet Securities Trading Agreement (if applicable)

本人已提示客戶閱讀現金客戶協議書及/或保證金客戶協議書內之風險披露聲明及互聯網證券交易協議所載之風險披露聲明(如適用)。

I have invited the client to read the Risk Disclosure Statement in relation to the trading of RMB securities and derivative products and explained the relevant risks associated with the derivative products to the Client who is characterized as:

- with knowledge of derivatives.
 without knowledge of derivatives.
本人已提示客戶閱讀風險披露聲明內有關買賣人民幣證券及衍生產品的條款，並已對被分類為衍生產品
- 擁有認識的客戶
 沒有認識的客戶
解釋衍生產品所附帶的相關風險。

I have encouraged the client to ask questions and seek independent advice if the client so wishes.

本人已鼓勵客戶有需要可以提出問題及徵求獨立的意見。

⊗
Licensed or Registered Person Signature
持牌人或註冊人簽署

Name of Licensed or Registered Person CE No.
持牌人或註冊人姓名 中央編號

Date 日期

Authorized Director(s)/ Responsible Officer(s) Signature with Company Chop
獲授權董事/負責人簽署及公司印章

Date 日期

LETTER OF AUTHORIZATION
授權通知書

To 致: Gary Cheng Securities Limited 加多利證券有限公司

Unit 1201, Elite Centre, 22 Hung To Road, Kwun Tong, Kowloon, Hong Kong
香港九龍觀塘鴻圖道22號俊匯中心12樓01室

LETTER OF AUTHORIZATION FOR SECURITIES COLLATERAL
抵押證券授權書

For Margin Account Only
只適用於保證金帳戶

Re: Authority under section 148 of the Securities and Futures Ordinance and the Securities and Futures (Client Securities) Rules made under that section to lend or deposit securities
根據【證券及期貨條例】(第148及其下之證券及期貨(客戶證券)規則)

This letter of authority covers securities deposited with you as collateral.
本授權書是有關一切由貴司代表我司存於貴司處作為抵押品之證券。

This letter authorizes you to:-
本授權書授權貴司:-

- (1) deposit any of our securities with an authorized financial institution (as defined by the Banking Ordinance) as collateral for financial accommodation provided to you;
將我司之證券存於一認可財務機構(根據<銀行條例>所作之定義)作為向貴司提供財務通融之抵押品。
- (2) lend or deposit any of our securities to fulfill settlement obligations between the exchange participants of Hong Kong Exchanges and Clearing Limited ("HKEX"). Any lending or depositing must be in accordance with the regulations of HKEX; and
貸出或存放任何我司之證券以完成香港交易及結算有限公司(「港交所」)的交易所參與者之間之交收責任。任何證券貸出或存放須依照聯交所規則進行；及
- (3) deposit any of our securities with Hong Kong Securities Clearing Company Limited ("HKSCC") as collateral for the discharge and satisfaction of your clearing obligations and liabilities under the General Rules of the Central Clearing and Settlement System. We understand that HKSCC will have a first fixed charge over our securities to the extent of your obligations and liabilities.
將任何我司之證券存於香港中央結算有限公司(「香港結算」)作為該機構之抵押品。以履行並完成閣下(根據<中央結算系統一般規則>)之結算責任。我司明白中央結算因應貴司的責任而對我司之證券設定為第一固定押記。

You may do any of these things without giving us notice. We acknowledge that this authority shall not affect your right to dispose of our securities in settlement of:-
貴司可以做以上任何事情毋須通知我司。我司確認本授權書不影響貴司為以下目的而處罰我司之證券的權利

- (1) our obligation to maintain the Margin (as defined in the Margin Client Agreement);
履行我司維持保證金的義務(根據<保證金客戶協議書>所作之定義)；
- (2) any of our liability to repay or discharge the financial accommodation provided by you;
履行我司償還或解除由貴司所提供的財務通融的法律責任；
- (3) any of our liability to settle a transaction in securities against which collateral has been provided by us; or
履行我司就某證券交易進行交收的法律責任，而我司已就該法律責任提供抵押品；或
- (4) any of our liability owed to you for dealing in securities which remains outstanding after you have disposed of all other assets designated as collateral for securing the settlement of that liability.
履行我司就證券交易而對貴司負有的法律責任，而該法律責任是指在貴司已將指定作為保證履行該法律責任的抵押品的所有其他資產處置後仍未履行的法律責任。

This authority is given to you in consideration of your agreeing to continue to maintain the securities margin account for us.
此賦予貴司之授權乃鑒於貴司同意繼續維持我司之證券保證金帳戶。

You are accountable to us for the return of any securities lent, deposited or delivered under this authority.
貴司仍須就根據本授權書貸出、存放或交收之任何證券的歸還向我司負責。

This authority is valid from the date of this letter and will expire on 31st DEC _____ but it may be renewed for subsequent periods of 12 months with my/our consent or automatically if I/we do not object to a written renewal notice that you will send to me/us. I/we understand that I/we may revoke the Authority by giving you written notice provide that I/we have settled all outstanding debts due to you and such notice shall take effect upon the expiry of 14 business days from the date of your actual receipt of such notice.

授權書的有效期由本信日期開始，並於_____年12月31日後無效，但可以在我司同意下另授權續約，或在我司就貴司將發出的續約通知書不提出反對下自動續約，每週期為12個月。我司明白我司可以在清還所有欠款後向貴司發出書面通知撤回授權書。通知在貴司收訖該等書面通知後14個工作天屆滿時生效。

This letter has been fully explained to us, and We understand the contents of this letter.
本函件已全部向我司解釋清楚。我司明白本函件的內容。

Authorized Signature (s) with Company Chop
獲授權人士簽署及公司印章

Name of Company
公司名稱

Business Registration No.
商業登記號碼

Date 日期

*** FOR OFFICIAL USE ONLY 供本公司使用***

Name of AE 客戶主任姓名	Years Client known to AE 客戶與客戶主任相識年期	Introduced by 介紹人	Documentation Checked by 文件查核	Approved by 批准
Brokerage 佣金	Min. 最低佣金	Credit Limit 信貸額	Interest Rate 利率	Bank and Credit references obtained 已獲銀行及信貸參考