中陽證券
Zhong Yang Securities Limited

CE No. BGT529
Unit 1101, 118 Connaught. Road West, Hong Kong
香港干諾道西 118 號 1101 室
Tel : (852) 3107 0731 / Fax : (852) 2836 3825

證券戶口號碼	
期貨戶口號碼	

Account Application Form
開 戶 申 請 表

Account Type(s) 帳戶類別

☐Securities - Cash A/C 證券現金帳戶 ☐ Futures Account 期貨帳戶
☐Securities - Margin A/C 保證金帳戶

Remarks: If you want to trade US stocks and/or other global products, the Securities – Margin Account is Required.
**備註：如需交易美股及/或其他環球產品，則需要開立保證金帳戶*

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1. Personal Information 個人資料

Client Name 客戶名稱	English 英文		Chinese 中文	
Gender 性別	☐Male 男 ☐Female 女		Date of Birth 出生日期	
Identity Document 身份證明文件	Type 類別	☐Identity Card 身份證 ☐ Passport 護照 ☐港澳通行證		
	Number 編號		Place of Issue 簽發地	
Nationality 國籍			Place of Birth 出生地	
Residential Address 住址				
Corresponding Address 通訊地址	☐Same as usual address 與住址相同 ☐Same as work address 與工作地址相同			
Mobile Phone 手機號碼			固網電話	
Bank Account 銀行戶口	Bank Name 銀行名稱		A/C No. 銀行號碼	
	SWIFT 編碼			
E-mail 電郵地址			Statement Language 結單語言	☐ Eng ☐ 中文
Send Statement to (select one) 結單郵寄至 (只選一項)	☐ E-mail 電子郵件 I hereby give(s) my/ our instruction that you shall email my contract notes, statement of account and receipts to my e-mail account as stated below. Henceforth, I do not require you to deliver the above mentioned hard copy statement by mail. I shall undertake to notify you of any changes in my email address promptly to ensure that you can deliver all statements to me/us timely for my/our review. 我現給予指示，要求 貴公司將我帳戶的成交單據，戶口結單及收據以電郵傳送至我/我們下列的電郵地址。此後，無需再以郵寄方式傳達予我。我並會即時通知貴公司該電郵地址的變更以確保你能及時把結單傳達予我查閱。 ☐ Other 其他：Please contact Customer Service 請與客服聯絡			
Prompt Notification for Internet Trades 網上交易的即時通知	☐ I request to opt-out from receiving prompt notification for trade execution over Internet. I confirm that I aware and understand the risk involved, adequate risk disclosure has been provided by the licensed or registered person. 本人現要求取消收取網上執行交易的即時通知。我確認我知悉及明白不收取有關通知所涉及的風險。持牌人/註冊人已向我作充份的風險披露。			

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2. Financial Summary 財務資料

Name of Employer 公司名稱		Working Status 工作狀態		Occupation 行業	
Office Address 工作地址					
Position 職位		Year(s) of Employment 任職年期	year(s)年	Office Tel. 公司電話	
Annual Income 每年總收入	☐US$30,000 or below 或以下 ☐US$30,000-70,000 ☐US$70,001-130,000 ☐US$130,001-350,000 ☐US$350,001– US$600,000 ☐US$600,001–US$1,000,000 ☐US$1,000,000 above 或以上				
Estimated Net Worth 估計資產淨值	☐US$130,000 or below 或以下 ☐US$130,001-350,000 ☐US$350,000- US$600,000 ☐US$600,001- US$1,000,000 ☐US$1,000,001- US$3,000,000 ☐US$3,000,001- US$10,000,000 ☐US$10,000,000 above 或以上 淨流動資產值 Total net liquid asset : _____				
Residence 住屋	☐Quarters 宿舍 ☐Rented 租用物業 ☐Mortgage 按揭物業 ☐Living with family 與家人住 ☐Self-owned 無貸款自置物業 物業估值				
Source of Funds 資金來源(Can more than one 可多選)	☐ Salary income 薪金收入 ☐ Inheritance 繼承 ☐Savings 儲蓄 ☐ business Income 業務收入 ☐ Investment 投資 ☐Others 其他(please specify 請註明)				

3. Investment Experiences and Objectives 投資經驗及目的

Investment Experience 投資經驗	
Futures & Options 期貨及期權	☐ Nil 無 ☐ < 1 year 年 ☐1-5 years 年 ☐6-10 years 年 ☐over 10 years 多於十年
Securities 股票	☐ Nil 無 ☐ < 1 year 年 ☐1-5 years 年 ☐6-10 years 年 ☐over 10 years 多於十年
Other Derivatives 其他衍生產品	☐ Nil 無 ☐ < 1 year 年 ☐1-5 years 年 ☐6-10 years 年 ☐over 10 years 多於十年
Wealth Investment pdt 理財產品	☐ Nil 無 ☐ < 1 year 年 ☐1-5 years 年 ☐6-10 years 年 ☐over 10 years 多於十年

Investment Objectives & Strategies 投資策略 (Can choose more than one 可選多於一項):
☐ Hedging 對沖 ☐ Speculation 投機 ☐ Investment 投資 ☐ others 其他 _____

4. For client want to trade derivative Products 買賣衍生產品客戶必須填寫

Knowledge of Derivative Products 對衍生工具的認識: ☐Yes 是 ☐No 否

I currently have or have experience working with derivatives, OR have executed more than 5 transactions on derivatives in the past three years, such as derivative warrants, CBBCs, stock warrants, futures or options, commodities, structured products and transactions, Exchange traded fund, OR undergone training or attended courses on derivative products etc.

本人現時或過去擁有與衍生產品有關工作經驗，或過去 3 年曾執行 5 次以上有關衍生產品的交易，例如：衍生權證、牛熊證、股票權證、期貨或期權、商品、結構性產品及交易所買賣基金等或曾接受有關衍生產品的培訓或修讀相關課程。

5. Identity of the Ultimate Beneficial Owner(s) of Account 賬戶最終權益擁有人的身份

☐ The client 客戶本人
☐ Other (Please provide details below) 其他 (請填寫下列各項)
Please provide copy of identity document and address proof of the beneficiary 必須提供最終受益人的身份證明文件及住址證明

Name 名稱	English 英文	Chinese 中文		Place of Birth 出生地	
ID / Passport No. 身份證/護照號碼		Nationality 國籍		Date of Birth 出生日期	
Email 電郵		Mobile Tel. 手提電話		Relationship 與客戶關係	
Address 地址					

6. Related Account 關連戶口

Is Client or ultimate beneficial Owner(s) of the Account related to an employee/licensed representative or an employee/ licensed representative of Our Company?

客戶或賬戶最終權益擁有人是否與本公司的僱員/持牌人員有親屬關係或為本公司的僱員/持牌人員?

☐No 否

☐Yes 是(Name of Employee /Licensed Representative 僱員/持牌人員姓名:_____ Relationship 關係:_____

7. For Securities Margin Account Only 證券保證金賬戶填寫

(1) Is your spouse a margin client of Our Company?

申請人的配偶是否本公司的保證金客戶？

☐No 否

☐Yes 是 (Please specify 請詳述: _____)

(2) Do you alone or jointly with your spouse control 35% or more of the voting rights of a corporate margin client of Our Company?

申請人是否單獨或與配偶共同控制本公司之任何的一個保證金公司客戶 35%或以上的表決權？

☐No 否

☐Yes 是 (Please specify 請詳述: _____)

8. Disclosure of Information 相關資料披露

Is the Applicant 申請人是否：

(1) A senior officer or director of a public or listed company of an exchange? (If yes, please specify the company name and stock code.)

任何其股份為在交易所上市或的高級人員或董事？

☐No 否

☐Yes 是

Exchange _____ Company Name _____ Stock Code _____

交易所 公司名稱 股份編號

(2) A licensed or registered person of a Regulatory Authority or an employee of that person?

任何監管機構之持牌或註冊人士或該人士之僱員？

☐No 否

☐Yes 是

Regulatory Authority: _____ License/ Registration No: _____

監管機構 牌照/ 號碼

(3) A U.S. citizen, a green card holder or residing in the U.S.?

美國公民、綠咭持有人或居住於美國?

☐No 否 ☐Yes 是

9. Notes 注意事項

Please attach 請附上:

- Copy of ID card or passport or travelling document 帳戶持有人的身份證或護照或旅遊證件副本
- Copy of bank statement or utility bill within the last 3 months 最近三個月的銀行結單或公共服務單據副本作為提供住址證明
- For opening Global and HK Securities Margin A/C, please provide proof of financial position and W8-BEN. 如開立保證金證券交易帳戶，請提供資產證明文件及 W8-BEN 表格。

10. 稅務居民資料

Important Notes:

- This is a self-certification form provided by an account holder to a reporting financial institution for the purpose of automatic exchange of financial account information. The data collected may be transmitted by the reporting financial institution to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.
- An account holder should report all changes in his/her tax residency status to the reporting financial institution.
- All parts of the form must be completed (unless not applicable or otherwise specified). If space provided is insufficient, continue on additional sheet(s).

重要提示：

- 這是由帳戶持有人向申報財務機構提供的自我證明表格，以作自動交換財務帳戶資料用途。申報財務機構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。
- 如帳戶持有人的稅務居民身分有所改變，應盡快將所有變更通知申報財務機構。
- 除不適用或特別註明外，必須填寫這份表格所有部分。如這份表格上的空位不夠應用，可另紙填寫。

Complete the following table indicating (a) the jurisdiction of residence where the account holder is a resident for tax purposes and (b) the account holder's TIN for each jurisdiction indicated. Indicate all jurisdictions of residence. Generally, the tax ID is your ID number, but please confirm this with the tax authorities of relevant tax jurisdiction.
在下表提供以下資料，列明（a）帳戶持有人的居留司法管轄區，亦即帳戶持有人的稅務管轄區（香港包括在內）及（b）該居 留司法管轄區發給帳戶持有人的稅務編號。列出所有（不限於 5 個）居留司法管轄區。 一般而言，稅務編號是身份證號碼，但請與相關稅務司法管轄區的稅務部門確認。

I acknowledge and agree that the information contained in this form is collected and may be kept by you for the purpose of automatic exchange of financial account information, and such information and information regarding the account holder and any reportable account(s) may be reported by you to the legal requirements 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 legal requirement.
I certify that I am the account holder of all the account(s) to which this form relates.
I undertake to advise your company of any change in circumstances which affects the tax residency status of the individual identified in this form or causes the information contained herein to become incorrect, and to provide your company with a suitably updated self-certification form within 30 days of such change in circumstances.
本人知悉及同意，貴公司可根據法例要求收集本開戶表所載資料並可備存作自動交換財務帳戶資料用途及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相關政府部門申報，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，本人是帳戶持有人簽署本表格。
本人承諾，如情況有所改變，以致影響本開戶書所述的個人稅務居民身分，或引致本開戶表所載的資料不正確，本人會通知**貴公司**，並會在情況發生改變後 30 日內，向**貴公司**提交一份已適當更新的自我證明表格。

Jurisdiction(s) of Residence for Tax Purposes 稅務居民的居留司法管轄區	TIN 稅務編號
(1)	
(2)	
(3)	
(4)	
(5)	

11. Declaration/Acknowledgement/Standing Authorization by Customer
客戶聲明/確認/常設授權

1. The Client agreed to be bound by the terms and conditions in this **Account Application Form**, **Securities Client Agreement**, **Futures Client Agreement** and such other documents referred to therein or added thereto (collectively referred to as the "Agreement") entered into with Zhong Yang Securities Limited (ZYSL). All the documents comprising the Agreement, are available at the official website of ZYSL (www.zyzq.com.hk). The Client has already been advised by ZYSL to seek independent legal advice for the terms and conditions in the Agreement.
Before opening the Account with ZYSL, the Client has fully read and understood the terms and conditions in the Agreement and the Client accepts, confirms and agrees to be bound by all such terms and conditions. The Client also understands that depending on the types of accounts or services to be opened or utilized, the Client may be required to sign additional documentation before opening or utilizing such accounts or services.
The Client further acknowledge and confirm that the Client have been invited by ZYSL to read the Risk Disclosure Statement, ask questions and take independent advice, if the Client wish. Risk Disclosure Statement are available at the official website of ZYSL (www.zyzq.com.hk).

客戶同意與中陽證券有限公司("中陽證券")訂立並遵守《開戶申請表》、《證券客戶協議》、《期貨客戶協議》及當中所提及或附加的其他文件(統稱"本協議")內之所有條款及條件。組成本協議的所有文件,已刊載於中陽證券的官方網站上 (www.zyzq.com.hk)。中陽證券已經建議客戶對本協議內之條款及條件尋求獨立法律意見。
客戶於開立帳戶前已經細閱及完全明白本協議內之條款及條件，客戶並同意、接受及確認遵守該等條款及條件。客戶明白（視乎開立或使用之帳戶或服務種類）客戶可能在開立或使用任何帳戶或服務前須簽署額外的文件。
客戶進一步確認中陽證券已經邀請客戶閱讀《風險披露聲明》，提出問題及徵求獨立的意見(如客戶有此意願)。《風險披露聲明》亦已刊載於中陽證券的官方網站上 (www.zyzq.com.hk)。

2. ZYSL shall have absolute rights to change, amend, delete or substitute any of the terms in or add new terms to the Agreement. An amendment notice and the revised Agreement will be posted at the ZYSL Website. Such amendment, deletion, substitution or addition shall be deemed as effective and incorporated therein (and shall form part of the Agreement) on the date of publication or issuance of such amendment notice. The Client may raise written objection within fourteen (14) days after the publication or issuance of such amendment notice at ZYSL Website. Failing which, it shall be deemed an acceptance of such amendment, deletion, substitution or addition.

中陽證券有絕對酌情權修訂、更改、刪減或取代本協議之任何條款或加入新的條款。修訂通知及修改後之本協議將刊載於中陽證券網站。該修訂、刪減、取代或增加的條款將於相關修訂通知刊載之日起生效，並被視為納入本協議內。客戶可於修訂通知在中陽證券網站上刊載後十四天內以書面向中陽證券提出反對，否則會被視為接受該修訂、刪減、取代或增加的條款。

3. The Client acknowledge and agree that (a) the information contained in this form is collected and may be kept by ZYSL for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the Client and any reportable account(s) may be reported by ZYSL 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 Client 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). The Client undertakes to advise ZYSL of any change in circumstances which affects the tax residency status of the Client or causes the information contained herein to become incorrect, and to provide ZYSL with a suitably updated self-certification form within 30 days of such change in circumstances.

本人知悉及同意，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。
本人承諾，如情況有所改變，以致影響本表格第 9 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，本人會通知中陽證券，並會在情況發生改變後 30 日內，向中陽證券提交一份已適當更新的自我證明表格。

4. **Authority to handle client money among segregated accounts**
This authority is given pursuant to the Securities and Futures (Client Money) Rules, which covers money held or received by ZYSL in Hong Kong (including any interest derived from holding the money which does not belong to ZYSL) in one or more segregated account(s) on my/our behalf ("Monies").
The Client authorize ZYSL to combine or consolidate any or all segregated accounts of any name whatsoever and either individually or jointly with others, maintained by ZYSL from time to time and ZYSL may transfer any sum of Monies to and between such segregated account(s) to satisfy my/our obligations or liabilities to any member of the ZYSL, whether such obligations and liabilities are actual or contingent, primary or collateral, secured or unsecured, or joint or several; and transfer any sum of Monies interchangeably between any of the segregated accounts maintained at any time by ZYSL. ZYSL may do any of these things without giving me/us notice. This authority is given to ZYSL in consideration of its agreeing to continue to maintain securities cash account(s) and/or securities margin account(s) and/or Futures Account(s) for me/us, and it is given without prejudice to other authorities or rights which ZYSL may have in relation to dealing in Monies in the segregated accounts.
This Authority is valid for a period of 12 months from January 1st to December 31st of the year of signing this Form. This Authority which are not revoked prior to its expiry may be renewed for one or more further periods not exceeding 12 months. The Client understands that the authorities shall be deemed to be renewed for subsequent periods of 12 months on a continuing basis without my/our written consent if ZYSL give me/us a written reminder at least 14 days prior to the expiry date and The Client do not object to such deemed renewal before the expiry date.
有關客戶資金在各客戶獨立帳戶間的調撥授權
本授權根據（證券及期貨（客戶款項）規則）涵蓋中陽證券為我 / 我們在香港持有或收取並存放於一個或多個獨立帳戶內的款項（包括因持有並非屬於中陽證券的款項而產生之任何利息）（下稱「款項」）。
客戶授權中陽證券組合或合併（個別地或與其他帳戶聯合進行）中陽證券所維持的任何或全部獨立帳戶，中陽證券可將該等獨立帳戶內任何數額之款項作出轉移，以符合客戶對中陽證券確實、或然、原有、附帶、有抵押、無抵押、共同或分別的義務或法律責任；及從中陽證券於任何時候維持的任何獨立帳戶之間來回調動任何數額之款項。中陽證券可不向客戶發出通知而採取上述行動。本授權乃鑑於中陽證券同意繼續客戶的證券現金帳戶 和/或 證券保證金帳戶和/或期貨帳戶，及並不損害中陽證券可享有有關處理該等獨立帳戶內款項的其他授權或權利。
客戶明白，若中陽證券在屆滿日之前至少 14 日給予客戶續期通知書而客戶在屆滿日之前沒有表示反對續期，則此授權將視為毋須客戶書面同意而接續地續期，每次續期期間為 12 個月。客戶明白，客戶可給予中陽證券至少 14 個交易日的預先書面通知，撤銷此授權。但是，中陽證券有絕對酌情決定權將撤銷授權通知書視為於中陽證券收訖時隨即生效。客戶確認中陽證券已向其解釋各項授權，客戶完全明白授權的內容，並已經或有機會就其內容及效力尋求法律顧問的意見。

5. **Authority to re-pledge securities for Margin Securities Trading (Applicable to securities margin account)**
This authority covers the securities or securities collateral received or held by ZYSL on my/our behalf. Unless otherwise defined, all the terms used in this Authorization Letter shall have the same meanings as defined in the Securities and Futures Ordinance and the Securities and Futures (Client Securities) Rules as amended from time to time.
The Client authorize ZYSL to apply any of my/our securities or securities collateral pursuant to a securities borrowing and lending agreement; deposit any of my/our securities collateral with an authorized financial institution as collateral for financial accommodation provided to ZYSL;

or deposit any of my/our securities collateral with a recognized clearing house; or another intermediary licensed or registered for dealing in securities, as collateral for the discharge and satisfaction of ZYSL settlement obligations and liabilities. ZYSL may do any of these things without giving me/us notice. ZYSL is accountable to me/us for the return of equivalent securities deposited under this authority after full repayment by me/us of all my/our outstanding loans under the facility. The Client understand that a third party may have a lien or charge on my/our securities or securities collateral, which ZYSL must satisfy before my/our securities or securities collateral can be returned to me/us. The Client are aware that there is risk if The Client provide ZYSL with an authority that allows ZYSL to apply my/our securities or securities collateral pursuant to a securities borrowing and lending agreement, repledge my/our securities collateral for financial accommodation or deposit my/our securities collateral as collateral for the discharge and satisfaction of ZYSL settlement obligations and liabilities. The Client understand that The Client may revoke this authority by giving ZYSL at least five trading days' prior written notice. However, ZYSL may, in it absolute discretion, treat the revocation notice as having immediate effect upon ZYSL receipt.
This Authority is valid for a period of 12 months from January 1st to December 31st of the year of signing this Form. This Authority which are not revoked prior to its expiry may be renewed for one or more further periods not exceeding 12 months. The Client understands that the authorities shall be deemed to be renewed for subsequent periods of 12 months on a continuing basis without my/our written consent if ZYSL give me/us a written reminder at least 14 days prior to the expiry date and The Client do not object to such deemed renewal before the expiry date.

有關保證金證券交易帳戶資產再抵押的授權 （適用於證券保證金帳戶）
本授權書是關於中陽證券代表本人接收或持有的證券或證券抵押品。除另有說明外，在本授權書內的所有用語應具有經不時修訂的《證券及期貨條例》及《證券及期貨(客戶證券)規則》所定義的相同意思。客戶等授權中陽證券依據證券借貸協議運用客戶的任何證券或證券抵押品；將客戶的任何證券抵押品存放於認可的財務機構，作為提供予中陽證券的財務通融的抵押品；或將客戶的任何證券抵押品存放於一家認可的結算所；或獲發牌或獲註冊進行證券交易的另一中介人，作為中陽證券履行交收義務與責任的抵押品。中陽證券可毋須通知客戶而進行上述各項。當客戶全數償還信貸安排下的所有未清償的貸款後，中陽證券須負責向客戶歸還在此授權下存放的相等證券。客戶明白，客戶的證券或證券抵押品可能受制於第三者之留置權或押記，中陽證券必須先行了結有關留置權或押記，方可將客戶的證券或證券抵押品歸還客戶。客戶知悉，客戶若授權中陽證券，准許中陽證券依據證券借貸協議運用客戶的任何證券或證券抵押品，或准許中陽證券再質押客戶的證券抵押品以取得財務通融，或准許中陽證券存放客戶的證券抵押品作為中陽證券履行交收義務與責任的抵押品，如此授權是帶有風險的。
客戶明白，若中陽證券在屆滿日之前至少 14 日給予客戶續期通知書而客戶在屆滿日之前沒有表示反對續期，則此授權將視為毋須客戶書面同意而接續地續期，每次續期期間為 12 個月。客戶明白，客戶可給予中陽證券至少 14 個交易日的預先書面通知，撤銷此授權。但是，中陽證券有絕對酌情決定權將撤銷授權通知書視為於中陽證券收訖時隨即生效。客戶確認中陽證券已向其解釋各項授權，客戶完全明白授權的內容，並已經或有機會就其內容及效力尋求法律顧問的意見。

6. **Authority to handle Money for Trading global securities and/or futures products**
This Authority covers money held or received by ZYSL (including any interest derived from the holding of the money which does not belong to ZYSL) (the "Monies") in any account(s) maintained by ZYSL for me/us in relation to my/our Foreign Transactions during its valid period unless this Authority is duly revoked prior to the expiry date. Unless the context otherwise requires, all the expressions used in this Authority 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. The Client hereby authorize ZYSL to deal with monies in my/our futures/securities trading account with the Company that receives from or on behalf of; held on behalf of me/us without prior notice nor it is necessary to obtain prior instruction or confirmation from me/us, in any of the following manner at the sole discretion of ZYSL:
to pay or transfer all or any portion of my/our money to any futures or securities trading/clearing/settlement account(s) maintained by ZYSL with any of its agent broker(s) and/or clearing agent(s), no matter whether they are linked corporation or not, either in Hong Kong or overseas, for the purpose of dealing or clearing/settlement of futures or futures options or securities.
to transfer Monies interchangeably between the segregated account(s) opened and maintained by ZYSL in Hong Kong and the segregated account(s) opened and maintained by ZYSL with any broker(s) and/or clearing firm(s) in or outside Hong Kong; and/or
to enter into foreign exchange contracts necessary to facilitate the purchase or meeting the settlement or margin requirement (if applicable) of the overseas futures contracts on or before the day when funds are required to be converted into other currencies for payment at market rates and in accordance with ZYSL normal practice. The timing will be at ZYSL sole discretion.
The Client hereby agree to indemnity, and to keep indemnified, ZYSL and any broker(s) and/or clearing firm(s) in Hong Kong or overseas from and against all losses, damages, interests, costs, expenses, actions, demands, claims or proceedings of whatsoever nature which they (or any of them) may incur, suffer and/or sustain as a consequence of any transaction undertaken in pursuance of this Authority. This Authority is given without prejudice to other authorities or rights which ZYSL may have in relation to dealing in the Monies in the segregated accounts. The Client acknowledge that the my/our assets (including Monies) received or held by the licensed or registered person outside Hong Kong are subject to the applicable laws and regulations of the relevant overseas jurisdiction which may be different from the Securities and Futures Ordinance (Cap.571) and the rules made thereunder. Consequently, such assets may not enjoy the same protection as that conferred on client assets received or held in Hong Kong.
This Authority is valid for a period of 12 months from January 1st to December 31st of the year of signing this Form. This Authority which are not revoked prior to its expiry may be renewed for one or more further periods not exceeding 12 months. The Client understands that the authorities shall be deemed to be renewed for subsequent periods of 12 months on a continuing basis without my/our written consent if ZYSL give me/us a written reminder at least 14 days prior to the expiry date and The Client do not object to such deemed renewal before the expiry date.

有關開設海外證券及期貨交易帳戶資金處理的授權
除本授權書於到期前被撤回外，本授權書有效期內，本授權涵蓋中陽證券收取或持有並存放於任何賬戶內有關外地交易的款項（包括因持有並非屬於中陽證券的款項的產生之任何利息）（"款項"）。 除文義另有所指外，於本授權內的任何名詞，《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。客戶謹以本授權授權中陽證券按下列方式自行酌情處理客戶於中陽證券之期貨/證券帳戶內任何數額之款項而無須事先給予客戶任何事先通知或事先取得客戶的指示及/或確認：
將任何數額之款項轉往中陽證券於其代理經紀及 /或清算代理(不論該代理是否貴行之系內公司)，在香港或海外開立的任何期貨/證券之交易/清算/交收帳戶，以作客戶買賣環球期貨/證券之用；及
從中陽證券在香港設立的獨立賬戶及在任何在香港或海外的經紀人及 / 或結算公司獨立賬戶之間來回調動；及 / 或
訂立外幣兌換合約，適用於當日或之前為了購買海外期貨合約之用或符合交收或按金的要求(如適用)而需要將資金轉換為其他貨幣，此等兌換合約按中陽證券日常慣例並以市場匯率訂立。訂約時間由中陽證券自行酌情決定。
客戶謹此同意就中陽證券及香港或海外經紀人及 / 或結算公司，因執行上述授權而可能產生、蒙受及 / 或承受一切虧損、損失、利息、費用、開支、法律訴訟、付款要求索償等等向中陽證券及香港或海外經紀人及 / 或結算公司作出賠償，並保障中陽證券及香港或海外經紀人及 / 或結算公司免受損害。本授權並不損害中陽證券可享有有關處理該等獨立賬戶內款項的其他授權或權利。客戶確認持牌人或註冊人在香港以外地方收取或持有客戶的資產，是受到有關海外司法管轄區的適用法律及規例所監管的。這些法律及規例與《證券及期貨條例》（第 571 條）及根據該條例制訂的規則可能有所不同。因此，有關資產將可能不會享有賦予在香港收取或持有的客戶資產的相同保障。
客戶明白，若中陽證券在屆滿日之前至少 14 日給予客戶續期通知書而客戶在屆滿日之前沒有表示反對續期，則此授權將視為毋須客戶書面同意而接續地續期，每次續期期間為 12 個月。客戶明白，客戶可給予中陽證券至少 14 個交易日的預先書面通知，撤銷此授權。但是，中陽證券有絕對酌情決定權將撤銷授權通知書視為於中陽證券收訖時隨即生效。客戶確認中陽證券已向其解釋各項授權，客戶完全明白授權的內容，並已經或有機會就其內容及效力尋求法律顧問的意見。

The Client hereby give(s) authorities as stipulated in items (4),(5)&(6) in this section and confirm that these

authorizations have been explained to me/us. The Client fully understand(s) the contents of these authorizations and has sought, or has had the opportunity to seek, legal advice concerning its contents and effect.

客戶並同時於此給予按本部份第 4、5 及第 6 項內設定的授權安排作出授權。客戶確認中陽證券已向其解釋各項授權，客戶完全明白授權的內容，並已經或有機會就其內容及效力尋求法律顧問的意見。

- I/We confirm that the client identification data provided to ZYSL is in accordance with the priority requirement required by the regulators. 1st priority: HKID Card, 2nd priority: National identification document, 3rd priority: Passport.
  - 本人/吾等確認本人/吾等提供給中陽證券的客戶識別信息符合監管要求的身分證明文件類別的優先次序。第一優先: 香港身份證，第二優先: 國民身分證明文件，第三優先: 護照。
- I/We have agreed to sign other additional documents, including but not limited to Risk Disclosure Statement and other relevant documents, by electronic signature or handwritten signature when opening the account or at other times;
  - 本人/吾等已同意以手寫簽名或電子簽名的方式在開立戶口時或其他時間去簽署其他額外文件，包括但不限於風險披露聲明以及其他相關的文件;

The Client declares and confirms that all the information provided in this Account Application Form is true, complete and correct and authorize ZYSL to contact anyone, including my/our banks, brokers or credit agency, for verifying such information. The Client undertake to inform and provide ZYSL with certified copies of any replacement or supporting documents immediately upon occurrence of any changes to such information.
客戶聲明及確認，所有於本開戶申請表提供的資料均屬真實，完整及正確，並授權中陽證券可向任何人士機構查證（包括客戶之銀行、經紀或信用調查機構）。客戶承諾，如該些資料一有任何更改，客戶將立即通知中陽證券及提供任何取替或証明文件的經核證副本。

Client Signature 客戶簽署

Client name 客戶姓名

Date:
日期:

In the event of any difference in interpretation or meaning between the English and Chinese version, The Client agree that the English version shall prevail. 如中、英文本之解釋或意思有不相同，客戶同意以英文本為準

12. Certification 核證

To be completed when Account Application From not signed before a staff member/licensed representative of Zhong Yang Securities Limited 如開戶申請表並非在中陽證券有限公司的僱員 / 持牌代表面前簽署，請填此欄

I am a * Justice of the Peace/branch manager of a licensed bank/lawyer/certified public accountant (practicing)/notary public/chartered secretary/SFC licensed or registered person. I hereby certify that on the date above written in this Section 11, this Account Application Form was executed by the Applicant named in this Account Application From (who had been previously identified by production of the original of his/her Identity Card or Passport (detailed above) to me) before me and signature of the Applicant was affixed to this Account Application Form in my presence.
本人乃 *太平紳士 / 持牌銀行分行經理 / 律師 / 執業會計師 / 公證人 / 特許秘書 / 證監會持牌或註冊人士。本人現證實：於以上在本 11 項所寫的日期當日，本開戶申請表乃由本開戶申請表所指名的申請人(其身份已根據並向本人出示之身份證或護照（詳見上方）正本作核實)於本人面前簽訂。

* Please delete as inappropriate 請刪去不適用者

Signature of the certifier 證明人簽署

Date 日期

Name of the certifier (please print)
證明人姓名（正楷）

Title/ Profession
銜頭/專業

Profession Organization
所屬專業團體

Office Use Only

13. Declaration by Staff 職員聲明

The following staff of Zhong Yang Securities Limited has provided the Client with the **Account Application Form**, the **Securities Client Agreement,** the **Futures Client Agreement** and the **Risk Disclosure Statement** (all written in English and Chinese languages) and also invited the Client to read the same, ask questions and take independent advice if the Client so wish.

以下之中陽證券有公司之職員已向客戶提供該《開戶申請表》、《證券客戶協議》、《期貨客戶協議》及《風險披露聲明》 (全部附有中英文版本)，並要求客戶參閱所有提供文件及提出問題、及可隨意尋求獨立意見。

Signature of staff 職員簽署:	CE No. 中央號碼
Name of staff 職員姓名:	Date 日期

14. Execution by Zhong Yang Securities Limited 中陽證券有限公司簽訂

We agree to open and maintain the above trading account(s) for the Client subject to the Terms and Conditions of the Agreement.
我們同意根據該協議條款及條件代客戶開立以上之交易戶口。

For and on behalf of
Zhong Yang Securities Limited

Signature 簽署

Name 姓名	Date 日期

Handled by	Approved by	Inputted by	Notified by
Name	Name	Name	Name
Date	Date	Date	Date
Remarks:			