



23/F, Tower 1, Admiralty Centre, 18 Harcourt Road, Admiralty, Hong Kong  
 香港金鐘夏慤道18號海富中心1座23樓  
 (CE No. ABS015) (中央編號: ABS015)  
 Website: http://www.yuanta.com.hk

Account No.  
 帳戶號碼

### ACCOUNT OPENING FORM 開戶表格 – For Corporate Account 公司帳戶

|   |  |
|---|--|
| <b>A. Account Type 帳戶類別</b>   |  |
| Entity of the client 客戶身份   |  |
| <input type="checkbox"/> Unlisted Limited Company 非上市有限公司 <input type="checkbox"/> Listed Company 上市公司 <input type="checkbox"/> Unlimited Company 無限公司 <input type="checkbox"/> Sole Proprietorship 獨資企業<br><input type="checkbox"/> Partnership 合夥企業 <input type="checkbox"/> Fund 基金 <input type="checkbox"/> Others 其他 _____ |  |
| Account Type 帳戶類別   | Trading Platform 交易系統 (Please Select One Only 請只選一項)   |
| (Please Select One Only 請只選一項)  | <input type="checkbox"/> Offline 離線<br><input type="checkbox"/> Web Trading System 網上交易系統 (For charges details, please refer to schedule fee 收費詳情請參閱收費表)<br><input type="checkbox"/> eWinner Series 點金靈系統 (For monthly fee details, please refer to schedule fee 申請需付月費, 詳情請參閱收費表) |
| <input type="checkbox"/> Securities Cash Account 證券現金帳戶<br><input type="checkbox"/> Securities Margin Account 證券保證金帳戶<br><input type="checkbox"/> Stock Options Account 股票期權帳戶  | SP Trader 專業版交易系統  |
| <input type="checkbox"/> Futures Account 期貨帳戶   | <input type="checkbox"/> SP Trader 專業版交易系統<br><input type="checkbox"/> Super 8 超八  |

|   |             |   |   |            |
|---|-------------|---|---|------------|
| <b>B. Corporate Information 公司資料</b>  |             |   |   |            |
| Company Name (English) 公司名稱(英文)   |             |   | Company Name (Chinese) 公司名稱(中文)   |            |
| Certificate of Incorporation No. and Country of Incorporation<br>公司註冊號碼及註冊國家<br><br>(Country 國家 )   |             | Business Registration No. in Hong Kong<br>香港商業登記號碼  | Date of Incorporation 註冊成立日期<br><input type="text"/> Y 年 / <input type="text"/> M 月 / <input type="text"/> D 日  |            |
| Nature of Business 業務性質   |             | No. of Years in the Business 經營業務年期   |   |            |
| Registered Address 註冊地址<br><br>(Postal Code 郵編)   |             |   |   |            |
| Business Address 營業地址 (Please Fill in if different from Registered Address, 如與註冊地址不同, 請填寫)<br><br>(Postal Code 郵編)  |             |   |   |            |
| Correspondence Address 通訊地址<br><input type="checkbox"/> Registered Address 註冊地址 <input type="checkbox"/> Business Address 營業地址 <input type="checkbox"/> Others 其他 _____   |             |   |   |            |
| Designated Contact 指定聯絡人<br>Name 姓名   | Position 職位 | Office Telephone<br>辦事處電話號碼   | Fax 傳真  | Email 電郵** |
| 1)  |             |   |   |            |
| 2)  |             |   |   |            |
| 3)  |             |   |   |            |
| All Statements/contract notes/trading confirmations/correspondence to be sent to<br>所有結單/買賣單據/交易確認通知/信件遞送至<br><input type="checkbox"/> By Email to Designated Contact Person 電郵至指定聯絡人 1/2/3**<br><input type="checkbox"/> By Post to Correspondence Address 郵寄至通訊地址 |             | Statement Language 結單語言<br><input type="checkbox"/> English 英文<br><input type="checkbox"/> Traditional Chinese 繁體中文 | Electronic Login Password 網上登入密碼(If Applicable 如適用)<br><input type="checkbox"/> By Email to Designated Contact 電郵至指定聯絡人 1/2/3**<br>(Please Select One Only 請只選一項)<br>Designated Contact Mobile. No 指定聯絡人手提電話號碼<br>( ) _____ |            |

|  |  |   |
|--|--|---|
| <b>C. Bank Account Information 銀行戶口資料</b>  |  |   |
| <input type="checkbox"/> Local Bank 本地銀行   | <input type="checkbox"/> Overseas Bank 海外銀行 (Country 國家 _____) |   |
| Bank Name 銀行名稱   | Bank Account No. 銀行帳戶號碼  | Currency 貨幣   |
| SWIFT Code 銀行電匯代碼 (For Overseas Bank 海外銀行適用)   | Intermediary Bank Name 中轉銀行名稱(For Overseas Bank 海外銀行適用)        | Intermediary Bank SWIFT 中轉銀行電匯代碼 (For Overseas Bank 海外銀行適用) |
| Subscription for "SMART Deposit" Service (Hong Kong Dollar) 申請《易存款》服務(港幣) (Securities Trading Account Only 只適用於證券帳戶) (Please Select One Only 請只選一項)<br><input type="checkbox"/> Bank of China (Hong Kong) Limited 中國銀行(香港)有限公司 <input type="checkbox"/> Standard Chartered Bank (Hong Kong) Company Limited 渣打銀行(香港)有限公司 |  |   |

|  |
|--|
| <b>D. Account Operation 帳戶操作</b>   |
| Trading Authorized Person (sign and effect transaction(s) in the account, Settlement Authorized Person (sign and effect settlement in the account) and Signing Arrangement shall be set out in the Board Resolution.<br>須於董事會決議案內詳細列明交易授權人士(可簽署及就帳戶進行交易), 交收授權人士(可簽署及就帳戶進行交易的交收)及簽名安排。 |

| E. Current Financial Status 現時財務狀況   |  |                          |                          |                          |                          |                   |                 |           |                          |                          |                          |                          |                          |                         |                          |                          |                          |                          |                          |                       |                          |                          |                          |                          |                          |                     |                          |                          |                          |                          |                          |                 |                          |                          |                          |                          |                          |
|--|--|--------------------------|--------------------------|--------------------------|--------------------------|-------------------|-----------------|-----------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|-------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|-----------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|---------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|-----------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|
| Source of Funding 資金來源<br><input type="checkbox"/> Investment Income 投資收入<br><input type="checkbox"/> Grants 資助  | Origin of Funding 資金來源地<br><input type="checkbox"/> Business Profit 營業溢利<br><input type="checkbox"/> Loan 貸款   |                          |                          |                          |                          |                   |                 |           |                          |                          |                          |                          |                          |                         |                          |                          |                          |                          |                          |                       |                          |                          |                          |                          |                          |                     |                          |                          |                          |                          |                          |                 |                          |                          |                          |                          |                          |
| <input type="checkbox"/> Shareholder Fund 股東資金<br><input type="checkbox"/> Others 其他 _____   | <input type="checkbox"/> Dividend 股息 / Interest 利息   |                          |                          |                          |                          |                   |                 |           |                          |                          |                          |                          |                          |                         |                          |                          |                          |                          |                          |                       |                          |                          |                          |                          |                          |                     |                          |                          |                          |                          |                          |                 |                          |                          |                          |                          |                          |
| Net Profit 經營溢利  | Total Assets 總資產   |                          |                          |                          |                          |                   |                 |           |                          |                          |                          |                          |                          |                         |                          |                          |                          |                          |                          |                       |                          |                          |                          |                          |                          |                     |                          |                          |                          |                          |                          |                 |                          |                          |                          |                          |                          |
| Total Liabilities 總負債  | Total Net Assets Value 總資產淨值   |                          |                          |                          |                          |                   |                 |           |                          |                          |                          |                          |                          |                         |                          |                          |                          |                          |                          |                       |                          |                          |                          |                          |                          |                     |                          |                          |                          |                          |                          |                 |                          |                          |                          |                          |                          |
| Investment Objective and Experience 投資目的及經驗  |  |                          |                          |                          |                          |                   |                 |           |                          |                          |                          |                          |                          |                         |                          |                          |                          |                          |                          |                       |                          |                          |                          |                          |                          |                     |                          |                          |                          |                          |                          |                 |                          |                          |                          |                          |                          |
| Investment Objective 投資目的  | <input type="checkbox"/> Hedging 對沖<br><input type="checkbox"/> Short Term 短線  |                          |                          |                          |                          |                   |                 |           |                          |                          |                          |                          |                          |                         |                          |                          |                          |                          |                          |                       |                          |                          |                          |                          |                          |                     |                          |                          |                          |                          |                          |                 |                          |                          |                          |                          |                          |
|  | <input type="checkbox"/> Capital Gain 資本增值<br><input type="checkbox"/> Long Term 長線  |                          |                          |                          |                          |                   |                 |           |                          |                          |                          |                          |                          |                         |                          |                          |                          |                          |                          |                       |                          |                          |                          |                          |                          |                     |                          |                          |                          |                          |                          |                 |                          |                          |                          |                          |                          |
|  | <input type="checkbox"/> Dividend Income 股息收入<br><input type="checkbox"/> Others 其他 _____  |                          |                          |                          |                          |                   |                 |           |                          |                          |                          |                          |                          |                         |                          |                          |                          |                          |                          |                       |                          |                          |                          |                          |                          |                     |                          |                          |                          |                          |                          |                 |                          |                          |                          |                          |                          |
| Estimated Investment (HKD) 估計投資 (港元) (Monthly 每月)  | <input type="checkbox"/> < 500,000<br><input type="checkbox"/> 500,001 – 1,000,000<br><input type="checkbox"/> 1,000,001 – 5,000,000<br><input type="checkbox"/> > 5,000,000   |                          |                          |                          |                          |                   |                 |           |                          |                          |                          |                          |                          |                         |                          |                          |                          |                          |                          |                       |                          |                          |                          |                          |                          |                     |                          |                          |                          |                          |                          |                 |                          |                          |                          |                          |                          |
| Investment Experience 投資經驗   | <table border="1"> <thead> <tr> <th></th> <th>Nil 無</th> <th>&lt; 1 Year 一年以下</th> <th>1-5 Years 一至五年</th> <th>6 – 10 Years 六至十年</th> <th>&gt; 10 Years 十年以上</th> </tr> </thead> <tbody> <tr> <td>Shares 股票</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> <tr> <td>Futures 期貨 / Options 期權</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> <tr> <td>Forex 外匯 / Bullion 黃金</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> <tr> <td>Bonds 債券 / Funds 基金</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> <tr> <td>Others 其他 _____</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> </tbody> </table> |                          | Nil 無                    | < 1 Year 一年以下            | 1-5 Years 一至五年           | 6 – 10 Years 六至十年 | > 10 Years 十年以上 | Shares 股票 | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Futures 期貨 / Options 期權 | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Forex 外匯 / Bullion 黃金 | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Bonds 債券 / Funds 基金 | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Others 其他 _____ | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|  | Nil 無  | < 1 Year 一年以下            | 1-5 Years 一至五年           | 6 – 10 Years 六至十年        | > 10 Years 十年以上          |                   |                 |           |                          |                          |                          |                          |                          |                         |                          |                          |                          |                          |                          |                       |                          |                          |                          |                          |                          |                     |                          |                          |                          |                          |                          |                 |                          |                          |                          |                          |                          |
| Shares 股票  | <input type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |                   |                 |           |                          |                          |                          |                          |                          |                         |                          |                          |                          |                          |                          |                       |                          |                          |                          |                          |                          |                     |                          |                          |                          |                          |                          |                 |                          |                          |                          |                          |                          |
| Futures 期貨 / Options 期權  | <input type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |                   |                 |           |                          |                          |                          |                          |                          |                         |                          |                          |                          |                          |                          |                       |                          |                          |                          |                          |                          |                     |                          |                          |                          |                          |                          |                 |                          |                          |                          |                          |                          |
| Forex 外匯 / Bullion 黃金  | <input type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |                   |                 |           |                          |                          |                          |                          |                          |                         |                          |                          |                          |                          |                          |                       |                          |                          |                          |                          |                          |                     |                          |                          |                          |                          |                          |                 |                          |                          |                          |                          |                          |
| Bonds 債券 / Funds 基金  | <input type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |                   |                 |           |                          |                          |                          |                          |                          |                         |                          |                          |                          |                          |                          |                       |                          |                          |                          |                          |                          |                     |                          |                          |                          |                          |                          |                 |                          |                          |                          |                          |                          |
| Others 其他 _____  | <input type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |                   |                 |           |                          |                          |                          |                          |                          |                         |                          |                          |                          |                          |                          |                       |                          |                          |                          |                          |                          |                     |                          |                          |                          |                          |                          |                 |                          |                          |                          |                          |                          |
| Knowledge of Derivatives Products 衍生產品的認識  |  |                          |                          |                          |                          |                   |                 |           |                          |                          |                          |                          |                          |                         |                          |                          |                          |                          |                          |                       |                          |                          |                          |                          |                          |                     |                          |                          |                          |                          |                          |                 |                          |                          |                          |                          |                          |
| 1. Have you ever undergo training or attend courses on derivative products with general knowledge of the nature and risks of derivatives?<br>客戶是否曾接受有關衍生產品性質和風險的一般知識培訓或修讀相關課程?   |  |                          |                          |                          |                          |                   |                 |           |                          |                          |                          |                          |                          |                         |                          |                          |                          |                          |                          |                       |                          |                          |                          |                          |                          |                     |                          |                          |                          |                          |                          |                 |                          |                          |                          |                          |                          |
| <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否   |  |                          |                          |                          |                          |                   |                 |           |                          |                          |                          |                          |                          |                         |                          |                          |                          |                          |                          |                       |                          |                          |                          |                          |                          |                     |                          |                          |                          |                          |                          |                 |                          |                          |                          |                          |                          |
| 2. Are you currently or previously working in relation to derivative products?<br>客戶現時或過去是否從事與衍生產品有關的工作?   |  |                          |                          |                          |                          |                   |                 |           |                          |                          |                          |                          |                          |                         |                          |                          |                          |                          |                          |                       |                          |                          |                          |                          |                          |                     |                          |                          |                          |                          |                          |                 |                          |                          |                          |                          |                          |
| <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否   |  |                          |                          |                          |                          |                   |                 |           |                          |                          |                          |                          |                          |                         |                          |                          |                          |                          |                          |                       |                          |                          |                          |                          |                          |                     |                          |                          |                          |                          |                          |                 |                          |                          |                          |                          |                          |
| 3. Have you traded at least 5 transactions in any derivative products (whether traded on an exchange or not) with in the past 3 years?<br>客戶是否在過去三年曾買賣過至少五次任何衍生產品的交易 (不論是否在交易所買賣)?   |  |                          |                          |                          |                          |                   |                 |           |                          |                          |                          |                          |                          |                         |                          |                          |                          |                          |                          |                       |                          |                          |                          |                          |                          |                     |                          |                          |                          |                          |                          |                 |                          |                          |                          |                          |                          |
| <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否   |  |                          |                          |                          |                          |                   |                 |           |                          |                          |                          |                          |                          |                         |                          |                          |                          |                          |                          |                       |                          |                          |                          |                          |                          |                     |                          |                          |                          |                          |                          |                 |                          |                          |                          |                          |                          |
| F. Declarations 聲明   |  |                          |                          |                          |                          |                   |                 |           |                          |                          |                          |                          |                          |                         |                          |                          |                          |                          |                          |                       |                          |                          |                          |                          |                          |                     |                          |                          |                          |                          |                          |                 |                          |                          |                          |                          |                          |
| Identity Declaration 身份證明  |  |                          |                          |                          |                          |                   |                 |           |                          |                          |                          |                          |                          |                         |                          |                          |                          |                          |                          |                       |                          |                          |                          |                          |                          |                     |                          |                          |                          |                          |                          |                 |                          |                          |                          |                          |                          |
| Is any director, shareholder or authorized person of the client an employee/account executive or the relative of any employee / account executive or director of Yuanta Group?<br>客戶之任何董事、股東或授權人士是否元大集團之僱員/經紀或其任何僱員/經紀或董事的親屬?  |  |                          |                          |                          |                          |                   |                 |           |                          |                          |                          |                          |                          |                         |                          |                          |                          |                          |                          |                       |                          |                          |                          |                          |                          |                     |                          |                          |                          |                          |                          |                 |                          |                          |                          |                          |                          |
| <input type="checkbox"/> No 否 <input type="checkbox"/> Yes, Please Specify 是, 請說明<br>Name of Employee/ Director/Account Executive 僱員/董事/經紀姓名 _____<br>Relationship 關係 _____  |  |                          |                          |                          |                          |                   |                 |           |                          |                          |                          |                          |                          |                         |                          |                          |                          |                          |                          |                       |                          |                          |                          |                          |                          |                     |                          |                          |                          |                          |                          |                 |                          |                          |                          |                          |                          |
| Is the client, client's directors, shareholders or authorized persons, licensed by or registered with the Securities and Futures Commission?<br>客戶本身或客戶之董事、股東或授權人士是否證監會之持牌或註冊人士?   |  |                          |                          |                          |                          |                   |                 |           |                          |                          |                          |                          |                          |                         |                          |                          |                          |                          |                          |                       |                          |                          |                          |                          |                          |                     |                          |                          |                          |                          |                          |                 |                          |                          |                          |                          |                          |
| <input type="checkbox"/> No 否 <input type="checkbox"/> Yes, Please Specify 是, 請說明<br>Name of Licensed/ Registered Person 持牌或註冊人名稱 _____<br>Address of Licensed/ Registered Person 持牌或註冊人地址 _____<br>(Please provide consent letter from your employer. 請提供閣下僱主之書面同意書)  |  |                          |                          |                          |                          |                   |                 |           |                          |                          |                          |                          |                          |                         |                          |                          |                          |                          |                          |                       |                          |                          |                          |                          |                          |                     |                          |                          |                          |                          |                          |                 |                          |                          |                          |                          |                          |
| Have the clients ever had any account opening application rejected by other financial institution? 客戶是否曾於其他金融機構開立戶口時被拒絕?   |  |                          |                          |                          |                          |                   |                 |           |                          |                          |                          |                          |                          |                         |                          |                          |                          |                          |                          |                       |                          |                          |                          |                          |                          |                     |                          |                          |                          |                          |                          |                 |                          |                          |                          |                          |                          |
| <input type="checkbox"/> No 否 <input type="checkbox"/> Yes, Please Specify 是, 請說明<br>Name of Financial Institution 金融機構名稱 _____<br>Reasons of Reject 拒絕原因 _____  |  |                          |                          |                          |                          |                   |                 |           |                          |                          |                          |                          |                          |                         |                          |                          |                          |                          |                          |                       |                          |                          |                          |                          |                          |                     |                          |                          |                          |                          |                          |                 |                          |                          |                          |                          |                          |
| Is any director, ultimate beneficial owner, partner, shareholder or authorized person, his spouse, partner, children, parents, spouse or partner of his children or a close associate** with you entrusted with a prominent public function in any place, including a head of state, head of government, senior politician, senior government, judicial or military official, senior executive of a state-owned corporation and an important political party official?<br>客戶之任何董事、最終受益人、合夥人、股東或授權人士, 其配偶、伴侶、子女或父母、或其子女的配偶或伴侶、或與其關係密切的人**是否在任何地方擔任或曾擔任重要公職, 包括國家元首、政府首長、資深從政者、高級政府、司法或軍事官員、國有企業高級行政人員及重要政黨幹事?   |  |                          |                          |                          |                          |                   |                 |           |                          |                          |                          |                          |                          |                         |                          |                          |                          |                          |                          |                       |                          |                          |                          |                          |                          |                     |                          |                          |                          |                          |                          |                 |                          |                          |                          |                          |                          |
| <input type="checkbox"/> No 否 <input type="checkbox"/> Yes, Please Specify 是, 請說明<br>Name and Position of PEP 政治人物姓名及職位 _____<br>P Country the PEP belongs 政治人物所屬國家 _____ PEP relationship with client 與客戶之關係 _____  |  |                          |                          |                          |                          |                   |                 |           |                          |                          |                          |                          |                          |                         |                          |                          |                          |                          |                          |                       |                          |                          |                          |                          |                          |                     |                          |                          |                          |                          |                          |                 |                          |                          |                          |                          |                          |
| ** a person is a "close associate" of an individual if the person is 如某人符合以下說明, 該人即屬與某個人(首述個人)關係密切的人:<br>1. Individual who has close business relations with the first-mentioned individual, including an individual who is a beneficial owner of a legal person or trust of which the first-mentioned individual is also a beneficial owner; 或<br>該人是與首述個人有密切業務關係的個人(在首述個人屬某法人或信託的實益擁有人的情況下, 包括同樣屬法人或信託的實益擁有人的個人) 或<br>2. Individual who is the beneficial owner of a legal person or trust that is set up for the benefit of the first-mentioned individual 該人是屬某法人或信託的實益擁有人的個人, 而該法人或信託是首述個人的利益而成立的   |  |                          |                          |                          |                          |                   |                 |           |                          |                          |                          |                          |                          |                         |                          |                          |                          |                          |                          |                       |                          |                          |                          |                          |                          |                     |                          |                          |                          |                          |                          |                 |                          |                          |                          |                          |                          |
| Is the client ultimately benefiting from the transactions and bearing the risk of the account? 客戶是否此帳戶的最終交易受益於交易及承擔風險人士?   |  |                          |                          |                          |                          |                   |                 |           |                          |                          |                          |                          |                          |                         |                          |                          |                          |                          |                          |                       |                          |                          |                          |                          |                          |                     |                          |                          |                          |                          |                          |                 |                          |                          |                          |                          |                          |
| <input type="checkbox"/> Yes 是 <input type="checkbox"/> No, Please Specify 否, 請說明<br>Name 姓名 _____ Phone No. 電話號碼 _____<br>Residential Address 居住地址 _____<br>Identity Card/ Passport Number and Issuing Country 身份證/護照號碼及簽發國家 _____ Relationship with the Client and Reasons (if any) 與客戶的關係及原因(如有) _____<br>(Please provide ID copy/ passport copy and residential address proof 請提供身份證/ 護照副本及住址證明)   |  |                          |                          |                          |                          |                   |                 |           |                          |                          |                          |                          |                          |                         |                          |                          |                          |                          |                          |                       |                          |                          |                          |                          |                          |                     |                          |                          |                          |                          |                          |                 |                          |                          |                          |                          |                          |
| Related Account(s) 關連帳戶  |  |                          |                          |                          |                          |                   |                 |           |                          |                          |                          |                          |                          |                         |                          |                          |                          |                          |                          |                       |                          |                          |                          |                          |                          |                     |                          |                          |                          |                          |                          |                 |                          |                          |                          |                          |                          |
| Is any of the client's group companies a client of YSHK?<br>客戶之集團公司是否元大證券(香港)的客戶?  |  |                          |                          |                          |                          |                   |                 |           |                          |                          |                          |                          |                          |                         |                          |                          |                          |                          |                          |                       |                          |                          |                          |                          |                          |                     |                          |                          |                          |                          |                          |                 |                          |                          |                          |                          |                          |
| <input type="checkbox"/> No 否 <input type="checkbox"/> Yes, Please Specify 是, 請說明<br>Account No. 帳戶號碼 _____<br>Name of Account Holder 帳戶持有人姓名 _____  |  |                          |                          |                          |                          |                   |                 |           |                          |                          |                          |                          |                          |                         |                          |                          |                          |                          |                          |                       |                          |                          |                          |                          |                          |                     |                          |                          |                          |                          |                          |                 |                          |                          |                          |                          |                          |
| Is any shareholder(s) of the client controlled 35% or above of the voting rights of the client who maintain(s) account with YSHK?<br>控制客戶 35%或以上之投票權的股東在元大證券(香港)是否持有戶口?  |  |                          |                          |                          |                          |                   |                 |           |                          |                          |                          |                          |                          |                         |                          |                          |                          |                          |                          |                       |                          |                          |                          |                          |                          |                     |                          |                          |                          |                          |                          |                 |                          |                          |                          |                          |                          |
| <input type="checkbox"/> No 否 <input type="checkbox"/> Yes, Please Specify 是, 請說明<br>Account No. 帳戶號碼 _____<br>Name of Account Holder 帳戶持有人姓名 _____  |  |                          |                          |                          |                          |                   |                 |           |                          |                          |                          |                          |                          |                         |                          |                          |                          |                          |                          |                       |                          |                          |                          |                          |                          |                     |                          |                          |                          |                          |                          |                 |                          |                          |                          |                          |                          |
| Use of Personal Data 個人資料之使用   |  |                          |                          |                          |                          |                   |                 |           |                          |                          |                          |                          |                          |                         |                          |                          |                          |                          |                          |                       |                          |                          |                          |                          |                          |                     |                          |                          |                          |                          |                          |                 |                          |                          |                          |                          |                          |
| We acknowledge that we have hereby informed that group of YSHK, its subsidiaries, its controlling company and the subsidiaries and associated company of such controlling company intends to use and transfer within YSHK Group our personal data for direct marketing of: (i) Financial Services and investment products and advices; (ii) Related promotion scheme; (iii) donations and contributions for charitable and/or non-profit making purposes. Such personal data includes name, contact details, products and services portfolio information, transaction pattern and behaviour, financial background and demographic data. We understand that we may, at any time, require YSHK to cease to use or transfer with in YSHK Group my personal data for direct marketing through written notice. 吾等明白吾等獲通知元大證券(香港)之控股集團之任何成員公司, 其附屬公司、其控股公司及該控股公司之附屬公司及相聯公司擬使用及在元大證券(香港)之控股集團之間轉移吾等於元大證券(香港)之控股集團之個人資料以直接促銷: (i) 金融服務和投資產品及建議; (ii) 相關優惠計劃; (iii) 為慈善及/或非牟利目的而作出之捐款及資助。該等個人資料包括姓名、聯絡資料、產品及服務投資組合信息、交易模式及行為、財務背景及統計數據。吾等明白吾等可以隨時以書面形式通知元大證券(香港)以停止控股集團在直接促銷中使用吾等之個人資料。 |  |                          |                          |                          |                          |                   |                 |           |                          |                          |                          |                          |                          |                         |                          |                          |                          |                          |                          |                       |                          |                          |                          |                          |                          |                     |                          |                          |                          |                          |                          |                 |                          |                          |                          |                          |                          |
| <input type="checkbox"/> We agree to the aforesaid use of our personal data in YSHK Group. 吾等同意元大(香港)之控股集團使用吾等之個人資料。   |  |                          |                          |                          |                          |                   |                 |           |                          |                          |                          |                          |                          |                         |                          |                          |                          |                          |                          |                       |                          |                          |                          |                          |                          |                     |                          |                          |                          |                          |                          |                 |                          |                          |                          |                          |                          |
| <input type="checkbox"/> We object to the use of or transfer our personal data in direct marketing within YSHK Group. 吾等反對元大(香港)之控股集團使用或轉移吾等之個人資料。   |  |                          |                          |                          |                          |                   |                 |           |                          |                          |                          |                          |                          |                         |                          |                          |                          |                          |                          |                       |                          |                          |                          |                          |                          |                     |                          |                          |                          |                          |                          |                 |                          |                          |                          |                          |                          |

**G. Client's Acknowledgement and Signature 客戶確認及簽署**

- We hereby declare that the information given above is true, correct and complete and we have not willfully withheld any material fact(s), we authorize Yuanta Securities (Hong Kong) Company Limited ("YSHK") to confirm this from any source YSHK considers appropriate, including the conduct of any credit checks on us. We understand that we may be required to provide additional information or submit documentary proof as to the information provided in this form when requested by YSHK. We confirm that we will update YSHK immediately on any changes.  
吾等謹此聲明上述資料乃屬真實、正確及完整，吾等並未刻意隱瞞任何重要事實。吾等授權元大證券(香港)有限公司("元大證券(香港)")向任何元大證券(香港)認為適當的資料來源查證，包括進行任何對於吾等的信貸檢查。除上述提供的資料外，吾等清楚元大證券(香港)也許要求吾等提供更多相關的資料或證明文件。吾等確認如所提供之資料有任何更改，均會立刻通知元大證券(香港)。
- We confirm that we have received, read and understood the "Terms and Conditions for Securities/Futures/Options Trading Accounts" ("Terms and Conditions") and this Account Opening Form applicable to us including but not limited to the relevant Risk Disclosure Statements, General Terms and Disclaimers, Additional Terms for Securities Cash/Securities Margin/Futures/Options Trading Account(s), which may be entered into in writing between YSHK and us from time to time, including any letters of authorization relating to securities margin financing.  
吾等特此接納及同意受條款及條件約束。元大證券(香港)有權不時修訂條款及條件，並向吾等發出通知。除非元大證券(香港)收到吾等通知取消帳戶，否則吾等繼續使用帳戶即表示吾等接納該修訂條款及條件。
- We hereby accept and agree to be bound by the Terms and Conditions. YSHK may amend the Terms and Conditions from time to time by giving us notice of such amendment. Unless YSHK has received our request to close the account(s), if we continue to use the account(s) we shall be deemed to have accepted such changes.  
吾等現聲明及確認已獲得提供按照吾等選擇的語言之風險披露聲明書，吾等已獲邀閱讀風險披露聲明，提出問題及徵求獨立意見(如吾等有此意願)。
- We hereby declare and acknowledge that if we maintain more than one Securities Cash/Securities Margin/Futures/Options Trading Account(s) with YSHK and do not specifically request that the transaction(s) be executed under a specific account of us, YSHK can have absolute discretion in deciding the allocation method unless we instruct YSHK to the contrary.  
吾等特此接納及同意如吾等於元大證券(香港)持有於一個之證券現金或證券存展及/或期貨及/或股票期權交易帳戶且未有特別要求透過吾等之其中一個指定帳戶進行交易，則元大證券(香港)有絕對酌情權決定在吾等未有發出指示時交易的分配方法。
- We hereby declare and acknowledge that we have fully understood the risk disclosure statement in the language of our choice. We have been invited to read the risk disclosure statement, and to ask questions and take independent advice if we wish.  
吾等現聲明及確認已獲得提供按照吾等選擇的語言之風險披露聲明書，吾等已獲邀閱讀風險披露聲明，提出問題及徵求獨立意見(如吾等有此意願)。
- We hereby declare and acknowledge that if we maintain more than one Securities Cash/Securities Margin/Futures/Options Trading Account(s) with YSHK and do not specifically request that the transaction(s) be executed under a specific account of us, YSHK can have absolute discretion in deciding the allocation method unless we instruct YSHK to the contrary.  
吾等特此接納及同意如吾等於元大證券(香港)持有於一個之證券現金或證券存展及/或期貨及/或股票期權交易帳戶且未有特別要求透過吾等之其中一個指定帳戶進行交易，則元大證券(香港)有絕對酌情權決定在吾等未有發出指示時交易的分配方法。
- We understand that YSHK reserves the unconditional right to reject our application.  
吾等明白元大證券(香港)保留無條件拒絕吾等開戶申請之權力。

**Signed by 簽署:**

For and on behalf of

X

Authorized Signature 授權簽名 (With Company Chop 附公司圖章)

Name and Position of Signer 簽署人名稱及職銜:

Date 日期:

Accepted by

For and on behalf of Yuanta Securities (Hong Kong) Company Limited

由 元大證券(香港)有限公司 接納

Authorized Signature 授權簽名

**Certification (to be completed by Representative of the Company or Professional<sup>#</sup>) 核證(由本公司代表或專業人士<sup>#</sup>填寫)**

I hereby certify that on the date written in the Part G, this Form was executed by Authorized Signature with Company Chop named in the Part G of this Form above (who had been previously identified by production of the original of his/her Identity Card or Passport to me) in my presence.

本人現證實：在此表格 G 項所寫的日期當日，此表格乃由上述所指明的授權簽名附公司圖章(其身份已根據其向本人出示之身份證或護照正本核實)於本人面前簽訂。

|              |                            |         |
|--------------|----------------------------|---------|
| Signature 簽署 | Name 姓名                    |         |
|              | Profession/Title 所屬專業 / 銜頭 |         |
|              | Employer Name 僱主名稱         |         |
|              | Contact No. 聯絡電話           | Date 日期 |

<sup>#</sup> Professional: Notary Public / Branch Manager of a Licensed Bank / Practising Lawyer / Certified Public Accountant (Practising) / Justice of the Peace

<sup>#</sup> 專業人士：公證人 / 持牌銀行分行經理 / 執業律師 / 執業會計師 / 太平紳士

**Risk Disclosure Statement 風險披露聲明(to be completed by the Company 由本公司填寫)**

The abovementioned risk disclosure statement(s) has/have been provided to the client in a language of the client's choice and the undersigned licensed person of the company has invited the client to read the same, ask questions and take independent advice.

上述之風險披露聲明已由下列簽署之持牌人按照客戶選擇的語言提供，並邀請客戶閱讀該/該等風險披露聲明、提出問題及徵求獨立意見。

 Face to Face 面對面

 Telephone 電話

Recorded Line No. 電話錄音號碼

Time 時間

|                                  |                |                                       |            |
|----------------------------------|----------------|---------------------------------------|------------|
| Name of Licensed Person<br>持牌人姓名 | CE No.<br>中央編號 | Signature of Licensed Person<br>持牌人簽署 | Date<br>日期 |
|----------------------------------|----------------|---------------------------------------|------------|

**For Official Use Only (只供內部填寫)**

Special Considerations &amp; Comments 特別考慮因素及意見:

|                           |                                  |   |
|---------------------------|----------------------------------|---|
| Handled by<br>經手人         | Inputted by<br>資料輸入人             | Scanned By<br>存檔人                               |
| Checked by<br>覆核人         | Data Input Checked by<br>資料輸入覆核人 | Archived By<br>存檔核對人                            |
| Approving Officer<br>批核主任 | Risk Management<br>風險控管          | Senior Management (if applicable)<br>高階主管 (如適用) |

**【Must be signed by Securities Margin Client 證券保證金客戶必須簽署】**

To: Yuanta Securities (Hong Kong) Company Limited  
23/F, Tower 1, Admiralty Centre,  
18 Harcourt Road, Admiralty, Hong Kong

致: 元大證券(香港)有限公司  
香港夏慤道 18 號海富中心 1 座 23 樓

Dear Sirs  
敬啟者

**Authorisation to dispose of, lend or deposit securities and/or securities collateral under the Securities and Futures (Client Securities) Rules**  
根據證券及期貨（客戶證券）規則有關出售，借出或存放證券及/或證券抵押品的授權

This letter of authorisation covers all the securities that are either listed or traded on The Stock Exchange of Hong Kong Limited (the "SEHK") or are interests in a collective investment scheme authorised by the Securities and Futures Commission (the "SFC") of which we are the beneficial owner(s), which are received or held in Hong Kong by or on behalf of you or your associated entity to facilitate the provision of financial accommodation by you (the "Securities Collateral") and/or are in relation to the conduct of dealing in securities and which do not constitute securities collateral (the "Securities") 本授權書包涵所有吾等實益擁有而在香港聯合交易所有限公司（“聯交所”）上市或交易之證券及為香港證券及期貨事務監察委員會（“證監會”）認可之集體投資計劃的權益，並且被貴公司或貴公司的聯繫實體在港收取或持有為提供財務通融之抵押品（“證券抵押品”）及/或就證券交易所收取或持有但並非構成證券抵押品之證券（“證券”）。

Without prejudice and in addition to any general lien, right of set-off or any other similar right to which you may be entitled by law or under the Agreement entered into between us on \_\_\_\_\_ (Date) we hereby authorise you to dispose of any of the Securities or/and Securities Collateral to the extent required to settle any liability owed by us to you, your associated entity or a third person. 在不損害貴公司依法或根據吾等在 \_\_\_\_\_ (日期) 簽訂之合約而就吾等之證券交易帳戶擁有的任何留置權、抵銷權或任何其他類似權利的情況下，吾等授權貴公司處置或出售部份或全部在吾等帳戶之證券或證券抵押品以清償任何吾等向貴公司，貴公司之聯繫實體或第三者所欠之債務。

We hereby additionally authorise you to deal with the Securities and/or Securities Collateral in the following ways 吾等額外授權貴公司根據以下條款處置證券及/或證券抵押品：

1. to apply any of the Securities and/or Securities Collateral pursuant to a securities borrowing and lending agreement 依據證券借貸協議運用任何證券或證券抵押品;
2. to deposit the Securities Collateral with an authorised institution as defined in the Banking Ordinance (Cap. 155 of the Laws of Hong Kong) as collateral for financial accommodation provided to you; and 將任何證券抵押品存放於一間認可機構（根據《銀行業條例》（香港法例第 155 章）之定義），作為提供予貴公司的財務通融的抵押品; 及
3. to deposit the Securities Collateral with a recognised clearing house (e.g. Hong Kong Securities Clearing Company Limited) or another intermediary licensed or registered for dealing in securities as collateral for the discharge and satisfaction of your settlement obligations and liabilities. 存放證券抵押品於認可結算所(如香港中央結算有限公司)或另一獲發牌或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。

You may perform any of the above without prior notice to us. This letter does not cover the treatment of 貴公司可無須事先通知吾等執行以上任何事情。本授權書並不包涵以下證券或證券抵押品的處理方式：

- (a) any securities or securities collateral that are held or received outside Hong Kong 任何在香港以外收取或持有之證券或證券抵押品;
- (b) any securities or securities collateral that not listed nor traded on the SEHK; nor 任何並非在聯交所上市或交易之證券或證券抵押品; 及
- (c) any interests in a collective investment scheme not authorised by the SFC 任何並非證監會認可之集體投資計劃的權益。

Those securities and securities collateral shall be dealt with according to the laws and regulations of the relevant jurisdiction where they are received or held. 該等證券及證券抵押品將根據在其收取或持有之有關海外地區的法律及規則處理。

The authority given in this letter of authorisation does not cover any consideration which we may pay or be paid for the lending or borrowing of securities by you. Such consideration shall be set by a separate agreement between us. 本授權書不涉及就貴公司借貸吾等之任何證券或證券抵押品而須支付或收取的任何代價。該等代價均須由吾等與貴公司另行協議訂明。

You are accountable to us for the return of any of the Securities or Securities Collateral lent or deposited under this authorisation. 貴公司仍需就根據本授權書貸出或存放的證券或證券抵押品的歸還向吾等負責。

We understand that the Securities and/or Securities Collateral may be subject to liens or lawful claims of third parties and return of such Securities and/or Securities Collateral to us may be subject to satisfaction of such liens. 吾等明白證券或證券抵押品可能受制於第三者之留置權或合法索償，貴公司須於全數抵償該等留置權後，方可將證券或證券抵押品退回吾等。

The authority given to you under this letter of authorisation shall be valid for a period of 12 months from the date of this letter unless revoked by us by written notice given by us to you. Such notice of revocation shall take effect 7 business days after receipt by you. 本授權書所給予貴公司之授權的有效期為十二個月，除非吾等提供書面通知予貴公司要求取消本授權。該等取消通知書將在貴公司收妥後 7 天方作生效。

The contents of this letter of authorisation have been fully explained to us and we understand them 本授權書的內容已全部向吾等徹底解釋，而吾等亦明白本授權書的內容。

Yours faithfully  
此致

Authorized Signature 授權簽名 (With Company Chop 附公司圖章)

Name and Position of Signer 簽署人名稱及職銜:

Date 日期: