

開戶表格 Account Opening Form

(公司賬戶 Corporate Account)

申請開戶日期 Application Date:

致:

好盈證券有限公司（「好盈證券」），為一間獲香港證券及期貨事務監察委員會（「證監會」）發牌之持牌法團（中央編號為 AAD967）及按證券及期貨條例(香港法例第五十七章) 可從事第一類（證券交易）受規管活動，並為香港聯合交易所有限公司(「聯交所」)之交易參與者，其註冊地址為香港干諾道中 148 號粵海投資大廈 11 樓 A 及 B2 室。

To:

Hooray Securities Limited (“Hooray Securities”), a licensed corporation (with CE No. AAD967) by the Securities and Futures Commission (the "SFC") in Hong Kong to conduct Type 1 (Dealing in securities) regulated activities under the Securities and Futures Ordinance (Cap. 571) and an Exchange Participant of The Stock Exchange of Hong Kong Limited (the “SEHK”) with its registered office at Room A & B2, 11/F, Guangdong Investment Tower, 148 Connaught Road Central, Hong Kong.

敬啟者 Dear Sirs :

開戶申請 Account Opening Application

吾等 為 _____ (「客戶」)，謹此要求好盈證券依照證券客戶協議（供現金及/或保證金證券賬戶之用）所載之條款與條件（「該協議」）為吾等 根據以下服務類別部份所指示開立並維持一個或多個現金及/或保證金證券賬戶（「該賬戶」）及為吾等 提供一個使用好盈證券所提供的電子交易服務（「電子交易服務」）的密碼及用戶識別碼；如適用。

We _____(the "Client") hereby request Hooray Securities to open and maintain a cash and/or a margin securities account or more accounts as indicated in the part of Type of Service below (the "Account") on the Terms and Conditions set out in the Securities Client Agreement (the "Agreement") and to provide us with a password and user ID in order to access the electronic trading services provided by Hooray Securities ("Electronic Trading Service"), if applicable.

服務類別 Type of Services

1. 現金證券賬戶 Cash Securities Account
2. 電子交易服務 Electronic Trading Service

吾等 希望为好盈證券開立上述賬戶，作為買入或賣出證券之用途。 We wish to open the above Account(s) with Hooray Securities for the purpose of purchase or sale in securities trading.

重要提示: (只適用於保證金證券賬戶) 吾等 理解及同意，好盈證券有絕對酌情權不時依照該協議的條款與條件以及好盈證券認為適當的其他條款與條件，就 好盈證券代表吾等 進行之證券交易向吾等 提供保證金融資。

好盈證券會再質押客戶證券抵押品，保證金買賣定性為高風險投資，吾等 確保及已了解保證金買賣的特性，仔細權衡吾等的投資經驗、目標、財政狀況及所能承擔的風險後，方簽署本開戶表格。

Important Notice: (applicable to Margin Securities Account only) We agree and understand that Hooray Securities may, in its absolute discretion, from time to time on the Terms and Conditions of the Agreement and other terms and conditions as Hooray Securities may think fit, provide us with margin facilities in respect of transactions in securities effected by Hooray Securities on our behalf. Hooray Securities has practice to repledge Clients' securities collateral. Margin trading is classified as high-risk investment. We agree and understand the nature of margin trading and carefully consider in light of our investment experience and objectives, financial resources and the extent of our exposure to risk(s) before signing this Account Opening Form.

客戶資料表 Client Information Statement

公司資料 Company Details

公司名稱	中文				
Name of Company	English				
公司性質 (例如私人或上市有限公司等) Nature of Entity (e.g. Private or public limited company, etc.)		註冊 / 成立之國家 Country of Incorporation / Establishment			
香港商業登記號碼 Business Registration No. in Hong Kong		註冊 / 成立國家之註冊號碼 Registration No. in Country of Incorporation / Establishment			
註冊日期 Date of Incorporation		業務性質 Nature of Business			
經營業務之年數 No. of Years in the Business		公司之營業地區 Country of Ordinary Business	☐ 非美國 Non USA ☐ 美國 USA		
註冊 / 成立國家之註冊地址 Registered Address in Country of Incorporation / Establishment		主要營業地址 Principal Place of Business			
	郵政編號 Postal Code		郵政編號 Postal Code		
辦公室電話 Office Telephone No.		傳真號碼 Fax No.			
流動電話 Mobile Phone No.		電郵地址 E-mail Address			
主要聯絡人名稱 Contact Person Name	先生 / 女士 Mr. / Ms.	聯絡人電話號碼 Contact Person Telephone No.		聯絡人電郵地址 Contact Person E-mail Address	

董事資料 Director(s) Information			
董事姓名 Name(s) of Director(s)	身份證號碼 / 護照號碼 ID Card No. / Passport No.	電話號碼 Telephone No.	
1)			
2)			
3)			
4)			
股東資料 Shareholder(s) Information			
主要股東 Major Shareholder(s)	身份證號碼 / 護照號碼 / 公司註冊號碼 ID Card No. / Passport No. / Company Registration No.	持股比例 Shareholding Percentage	電話號碼 Telephone No.
1)			
2)			
3)			
4)			
最終權益擁有人姓名 Name of Ultimate Beneficial Owner(s)	身份證號碼 / 護照號碼 ID Card No. / Passport No.	住宅地址 / 註冊地址 Residential Address / Registered Address	國籍/公民身份 Nationality/ Citizenship
1)			
2)			
3)			
4)			
財政狀況 Financial Status			
法定股本 Authorized Capital		發行股本 Paid-up Capital	
資產淨值 Net Asset Value	根據最近的審計賬目 ____ / ____ 年度 Based on latest audited accounts as at ____ / ____ ☐ ≤ HKD1,000,000 ☐ HKD1,000,001 - HKD5,000,000 ☐ HKD5,000,001 - HKD10,000,000 ☐ Others : HKD _____	除稅後盈利 Profit after Tax	根據最近的審計賬目 ____ / ____ 年度 Based on latest audited accounts as at ____ / ____ ☐ ≤ HKD1,000,000 ☐ HKD1,000,001 – HKD5,000,000 ☐ HKD5,000,001 – HKD10,000,000 ☐ Others: HKD _____ ☐ 虧損數額為港幣 Loss with amount at HKD _____
流動資產 Liquid Assets	☐ ≤ HKD1,000,000 ☐ HKD1,000,001 - HKD5,000,000 ☐ HKD5,000,001 - HKD10,000,000 ☐ Others : HKD _____	收入來源 Source of income	☐ 營業溢利 Trading Profits ☐ 生產利潤 Manufacturing Profits ☐ 股息/利息 Dividend/Interest ☐ 租金收入 Rental Income ☐ 服務收入 Service Income ☐ 其他 Others : _____
投資經驗及目標 Investment Experience and Objective			
投資經驗 Investment Experience	☐ 沒有 Nil ☐ 少於 1 年 Less than a year ☐ 1-5 年 years ☐ 6-10 年 years ☐ 10 年以上 More than 10 years	曾投資的產品 Experienced Products	☐ 股票 Shares ☐ 認股權證 Warrants ☐ 期貨/期權 Futures/Options ☐ 外匯/黃金 Forex/Bullion ☐ 債券 Bonds ☐ 基金 Funds ☐ 沒有 Nil ☐ 其他 Others : _____
投資目標 Investment Objectives	☐ 短線 Short Term ☐ 中線 Medium Term ☐ 長線 Long Term ☐ 資本增值 Capital Appreciation ☐ 股息回報 Dividend Yield ☐ 對沖 Hedging ☐ 投機 Speculation ☐ 其他 Others : _____	估計投資金額 Estimated Investment Amount	☐ ≤ HKD200,000 ☐ HKD200,001 - HKD500,000 ☐ HKD500,001 - HKD1,000,000 ☐ HKD1,000,001 - HKD5,000,000 ☐ HKD5,000,001 - HKD10,000,000 ☐ Others: HKD _____
衍生產品之認識 Derivative Products Knowledge			
客戶有意認購以下聯交所買賣的衍生產品 The Client wishes to purchase the following derivative product(s) which is/are traded on the SEHK: ☐ 牛熊證 Callable Bull Bear Contracts ☐ 衍生權證 (窩輪) Derivative Warrants ☐ 交易所買賣基金 Exchange Traded Funds (ETF) 客戶對衍生產品的認識如下 The Client's knowledge of derivative products are as followed: ☐ 已接受有關介紹一般衍生產品之性質及風險的培訓或課程 (例如學術機構或金融機構所提供之課程) underwent training or attended courses on derivative products that provide general knowledge of the nature and risks of derivatives (e.g. courses offered by academic or financial institutions) ☐ 擁有與衍生產品有關之工作經驗 has work experience related to derivative products ☐ 有相關之交易經驗 · 即吾等於過去 3 年曾執行過 5 次或以上有關衍生產品之交易 has relevant trading experience i.e. We have executed 5 or more transactions in derivative products within the past 3 years ☐ 並未有衍生產品之認識* does not have any knowledge of derivative products*			
* 即使客戶並未有衍生產品之認識，如客戶有意認購聯交所買賣的衍生產品，亦可接受好盈證券就相關衍生產品所作出之風險解釋及完成問卷調查。 * When the Client does not have any knowledge of derivative products, the Client could accept Hoorav Securities' explanation on risks associated with derivative products and complete the questionnaire if the Client wish(es) to purchase derivative products which are traded on the SEHK.			

只適用於保證金證券賬戶 Applicable to Margin Securities Account Only			
關連保證金證券賬戶 Related Margin Securities Account			
客戶是否控制另一間公司 35%或以上投票權，而該公司是持有好盈證券的保證金證券賬戶？ Does the Client control 35% or more of the voting rights of another company which maintains any Margin Securities Account(s) with Hooray Securities?			
☐ 不是 No ☐ 是 Yes : 賬戶號碼 Account No.: 賬戶名稱 Name of Account:			

成交單據及賬戶結單 Contract Note and Account Statement				
請選以下方式收取綜合成交單據及日結單和月結單及其他通知： Please select the following method(s) of receiving Consolidated Contract Note(s) and Daily Statement(s) of Account and Monthly Statements and other notice(s)：				
☐ 郵遞方式 By post： ☐ 辦公室地址 Office address：_____ ☐ 註冊地址 Registered address：_____ ☐ 其他 Others：_____ ☐ 電郵方式 By E-mail				
語言 Language： ☐ 繁體中文 Traditional Chinese ☐ 簡體中文 Simplified Chinese ☐ 英文 English (如以郵遞方式，本公司將會收取費用。An additional fee will be charged for Postal service)				
個人資料政策 Policy of Personal Data				
☐ 客戶同意好盈證券使用其個人資料 (包括：姓名、電話號碼、電郵及地址) 經以下渠道提供投資或有關財務產品及服務的資料，包括研究報告及直接促銷之優惠。 ☐ The Client agrees Hooray Securities to use whose personal data (including: name, telephone number, e-mail address and address) in providing information about investment or financial related products and services including research reports and special offers in direct marketing via the following channel(s)				
☐ 電郵 E-mail ☐ 手機訊息 SMS ☐ 電話 Phone ☐ 郵件 Mail				
交易指令及賬戶操作安排 Trading and Account Operation Arrangement				
授權人資料 Authorized Person(s) Information				
客戶委任以下人士作為操作賬戶之獲授權人士，獲授權人士作出的任何指示對客戶具有絕對約束力，好盈證券毋須查詢或核實獲授權人士發出任何指示所依據的權力。 The Client appoints the following person(s) as the Authorized Person(s) to operate the Account, any instructions(s) given by the Authorized Person(s) shall be absolutely binding on the Client, Hooray Securities shall have no obligation whatsoever to inquire about or confirm the authority of the Authorized Person(s) on its behalf.				
獲授權人姓名 Name(s) of Authorized Person(s)	身份證號碼 / 護照號碼 ID Card No. / Passport No.	聯絡電話 Contact No.	電郵地址 E-mail Address	簽署 Signature
1)				
2)				
3)				
4)				
指示種類 Type of Instructions		權限 Extent of Authority		
執行任何證券買入或賣出之交易指示 Instructions to execute any purchase or sale in securities trading		口頭指示 Oral Instruction		書面指示 Written Instruction
		☐ 任何一位獲授權人單獨發出 Any one of the authorized persons		☐ 任何_____位獲授權人 Any _____ of the authorized persons ☐ 加蓋公司印章 Company Chop
(包括不但限於提款、證券交收、款項或證券轉移等賬戶事宜的有效文件等) All valid documents in connection with the operation arrangement (including but not limited to fund withdrawal, securities settlement, monies or securities transfer etc.)		口頭指示 Oral Instruction		書面指示 Written Instruction
		☐ 任何一位獲授權人單獨發出 Any one of the authorized persons		☐ 任何_____位獲授權人 Any _____ of the authorized persons ☐ 加蓋公司印章 Company Chop
見證客戶 (如適用) Witnessing of Client (if applicable)				
若客戶並非在好盈證券之指定僱員面前簽立本表格，則以下部分應由指定人士，包括其他證監會持牌人或註冊人、太平紳士或專業人士 (例如銀行分行經理、執業會計師、律師或公證人)簽署驗證。 If this Account Opening Form is not executed in front of Hooray Securities' SFC licensed employee, a witness (including any SFC licensed or registered person, a justice of the peace, a branch manager of a bank, practising certified public accountant or notary public) should be required to sign below.				
本人 謹此見證上述客戶簽立此本表格 (構成本該協議之重要文件) 及驗證其有關身份證明文件之正本： I, the undersigned hereby certify that I have witnessed the signing of this Account Opening Form (forming an integral part of the Agreement) by the Client and have seen the original of the relevant identity documents of the Client：				
見證及見證人簽署 Signed and Certified by Witness				
日期 Date _____		見證人名稱 Name of Witness _____		
		所屬專業及職銜 Profession/Title _____		
		聯絡電話 Contact No. _____		
		聯絡地址 Contact Address _____		

客戶確認及承認 Acknowledgement and Confirmation by Client

吾等 確認收妥 (i) 該協議；及 (ii) 證券交易之服務收費表。

We acknowledge our receipt of (i) the Agreement; and (ii) the Schedule of Service Charges for securities trading services.

該協議和風險披露聲明：吾等 謹此承認並確認吾等 已獲得按照吾等 所選擇的語言（英文或中文）的該協議，當中包括但不限於載於該協議中的保證金證券賬戶之額外條款與條件(如適用)、電子交易服務之條款與條件(如適用)及風險披露聲明，以及吾等 已獲邀請仔細閱讀所有該協議內之條款與條件及風險披露聲明、提出問題及徵求獨立意見（如吾等 有此意願）。

The Agreement and Risk Disclosure Statements: We hereby acknowledge and confirm that the Agreement, including but not limited to the Additional Terms and Conditions for Margin Securities Account (if applicable), the Terms and Conditions of Electronic Trading Service (if applicable) and the Risk Disclosure Statements set out in the Agreement, was provided to us in a language of our choice (English or Chinese) and We were invited to read the all Terms and Conditions and Risk Disclosure Statements set out in the Agreement carefully, ask questions and take independent advice if We wish.

常設授權 – 客戶證券（只適用於保證金證券賬戶）：吾等 謹此承認並確認吾等 已經授權好盈證券根據該協議中所載的常設授權處置吾等 的證券及證券抵押品，而好盈證券已向吾等 解釋有關該等常設授權的條款與條件，及吾等 完全明白該等條款與條件的內容。

Standing Authority – Client Securities (Applicable to Margin Securities Accounts only): We hereby acknowledge and confirm that We have authorized Hooray Securities to deal with our securities and securities collateral in accordance with the standing authorities as set out in the Agreement and the relevant Terms and Conditions in relation to such standing authorities have been explained to us and we fully understand the contents of such Terms and Conditions.

個人資料政策（「該政策」）：吾等 謹此承認並確認已閱讀及明白所載於該協議內之該政策並同意好盈證券可根據該政策使用由本開戶表格所收集之吾等 的個人資料，用作處理吾等 於好盈證券開立賬戶的申請及 / 或用於該政策所指定的任何其他用途。

Policy on Personal Data (the "Policy"): We hereby acknowledge and confirm that We have read and understood the Policy set out in the Agreement and agree to our personal data collected from this Account Opening Form will be used by Hooray Securities in accordance with the Policy to process our application for any account(s) with Hooray Securities and/or any other purpose as set out in the Policy.

吾等 謹此承認並確認除非好盈證券收到更改有關開戶表格內任何資料及聲明的書面通知，否則好盈證券有權完全依賴此等資料及聲明作一切用途。吾等 授權好盈證券可隨時就核對此等資料，與任何人士包括吾等 的銀行、經紀或任何信用機構進行諮詢。

We hereby acknowledge and confirm that Hooray Securities is entitled to rely fully on such any information and declarations stated in Account Opening Form for all purpose, unless Hooray Securities receives notice in writing of any change. We authorize Hooray Securities, at any time, to contact anyone, including our banks, brokers or any credit agency, for the purpose of verifying the information provided herein.

吾等 在本開戶表格中之個人資料政策部份已確認吾等 在使用個人資料於用於直接促銷或接受好盈證券發出的任何直接促銷資料或訊息的選擇。

We confirm our choice on the using of our personal data in direct marketing or receiving any direct marketing materials in the part of Policy of Personal Data in this Account Opening Form.

吾等 謹此承認並確認在本開戶表格中向好盈證券提供的資料及聲明全部真實、準確及完整，如有任何更改並承諾會立即以書面通知好盈證券。

We hereby acknowledge and confirm that the information and declarations provided by us to Hooray Securities in this Account Opening Form are true, accurate and complete and We undertake to immediately inform Hooray Securities in writing of any changes to the same.

吾等 謹此確認，吾等 已經閱讀並明白及同意所載於該協議及本開戶表格的所有條款與條件，並接受該等條款與條件的約束。

We hereby confirm that We have read, understood and agree all the Terms and Conditions set out in the Agreement and this Account Opening Form and agree to be bound by same.

董事/授權人簽署
Signature of Director/Authorized Person：



公司印章
Company Chop

日期 Date：

*將被用作簽名樣式 Will be used as specimen signature

注意事項 Notes

- 請隨本開戶表格附上所有相關公司開戶證明文件。
Please enclose all supporting documents for Corporate Account opening with this Account Opening Form.
- 全部賬戶持有人必須在好盈證券或聯繫人士的職員/代理人面前填妥及簽署本開戶表格；如非親身開戶，請參考本表格內「見證客戶」部份。
This Account Opening Form should be completed and signed by all account holders in front of an employee or agent of Hooray Securities or its Associates. Otherwise, please refer to the part of Witnessing of the Client in this Account Opening Form.
- 任何有關個人資料的刪改必須由賬戶獲授權人（等）簽署作實。
Any deletion or amendment of the personal information must be signed by Authorized Person(s).
- 好盈證券恕不接受第三者款項存款或提款。任何例外情況都需要管理層的預先批准。
Hooray Securities will not accept third-party fund deposit or withdrawal. Any exception is subject to prior management approval.

持牌人聲明 Declaration by Licensed Person			
本人 確認已按照客戶所選擇的語言（英文或中文）提供載於該協議內的風險披露聲明及已邀請客戶仔細閱讀該風險披露聲明，提出問題及徵求獨立意見（如客戶有此意願）。			
I confirm that I have provided the Risk Disclosure Statements as set out in the Agreement to the Client in a language (English or Chinese) of the Client's choice. I have also invited the Client to read the Risk Disclosure Statements carefully, ask questions and take independent advice if the Client wish(es).			
日期 Date :			
持牌人簽署 Signature of Licensed Person	持牌人名稱 Name of Licensed Person		中英編號 CE No.
	向客戶確認 Confirmation with the Client		
內線 Ext.			時間 Time
時 HH			分 MM
			日期 Date
反清洗黑錢風險級別 Anti-Money Laundering Risk Category			
反清洗黑錢風險級別 （參考反清洗黑錢政策） Anti-Money Laundering Risk Category (refer to Anti-Money Laundering Policy)		☐ 低 Low ☐ 中 Medium ☐ 高 High	
只供本行使用 For Official Use Only			
文件查核列表 Document Check List		電話交易 Phone Trading	網上交易 Internet Trading
☐ 商業登記證副本 Copy of Business Registration Certificate		佣金(%)	
☐ 公司註冊證書副本 Copy of Certificate of Incorporation		Commission (%)	
☐ 公司章程及細則副本 Copy of Articles of Association		最低佣金	
☐ 公司董事記錄冊副本 Copy of Register of Directors		Min. Commission (HKD)	
☐ 公司股東記錄冊副本 Copy of Register of Members		每日交易額	
☐ 董事會決議案 Board Resolution		Trading Limit (HKD)	
☐ 公司架構圖 Copy of Group Chart		信貸交易額	
☐ 最新周年報表 Latest Annual Return		Credit Limit (HKD)	
☐ 公司存續證明副本 Copy of Certificate of Incumbency		利息(%)	
☐ 所有董事、最終權益擁有人及獲授權者之身份證 / 護照副本 ID / Passport Copies of All Directors, UBO(s) & Authorized Persons		Interest(%)	
☐ 所有董事、最終權益擁有人及獲授權者之地址證明 Address Proof of All Directors, UBO(s) & Authorized Persons			
☐ 自我證明表格 Self-Certification Form			
☐ 美國預扣稅及申報實益擁有人之外籍身份證明（實體）(W-8BEN-E/W-8IMY 表格) Certificate of Status of Beneficial Owner for United States Tax Withholding and Reporting (W-8BEN-E/W-8IMY Form)			
☐ 常設授權(客戶款項) Standing Authority (Client Money)			
☐ 其他 Others :			
備註 Remarks			
經紀名稱 Name of AE		經紀編號 Code of AE	與客戶認識多久 How Long Known to the Client
經紀簽署 Signature of AE		日期 Date	
文件查核 Document Verification			
職員名稱 Name of Staff		職員簽署 Signature of Staff	日期 Date
備註 Remarks			
開戶審批 Account Opening Approval			
職員名稱 Name of Staff		職員簽署 Signature of Staff	日期 Date
備註 Remarks			
信貸額審批 Credit Line Approval			
職員名稱 Name of Staff		職員簽署 Signature of Staff	日期 Date
備註 Remarks			
系統輸入 System Input			
資料輸入人 Inputted By		覆核人 Checked By	日期 Date