

# Realord Asia Pacific Securities Limited

## 偉祿亞太證券有限公司

Account No. 帳號:

開戶申請表格(公司帳戶)

### ACCOUNT OPENING FORM (CORPORATE ACCOUNT)

1. ACCOUNT TYPE 帳戶類別 (Please tick appropriate box. 請在適當空格加 ✓ )	
<input type="checkbox"/> Margin Account 保證金帳戶	<input type="checkbox"/> Cash Account 現金帳戶
Do you require internet trading services? 您是否需要開通網上交易服務?	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
*If yes, please provide mobile number 如是，請提供手機號碼	Mobile 手機號: _____
Do you agree to activate "China Stock Connect Trading" Service? 您是否同意開通「中華通北向交易」服務?	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
2. CORPORATE INFORMATION 公司資料 (Please tick appropriate box. 請在適當空格加 ✓ )	
Company Name (English) 公司名稱 (英文):	
Company Name (Chinese) 公司名稱 (中文):	
Scope of Business 業務範圍: _____	
Nature of Entity: <input type="checkbox"/> Private limited company 私人公司 <input type="checkbox"/> Public limited company 公共企業 <input type="checkbox"/> Sole proprietor 獨資經營	
公司性質: <input type="checkbox"/> Partnership 合伙經營 <input type="checkbox"/> Others 其他 _____	
Registered Address 註冊地址:	
Business Address 商業地址:	
E-mail Address 電郵地址:	
Preferred Method of Communication 通訊方法:	
<input type="checkbox"/> E-mail 電郵 <input type="checkbox"/> By post to Registered address 註冊地址* <input type="checkbox"/> By post to Business address 商業地址*	
Statement Language 結單語言: <input type="checkbox"/> Traditional Chinese 繁體中文 <input type="checkbox"/> Simplify Chinese 簡體中文 <input type="checkbox"/> English 英文	
Business Registration No. 商業登記號碼:	Place of Incorporation 註冊國家:
Certificate of Incorporation No. 公司註冊號碼:	Date of Incorporation 註冊日期:
Tel. No. (Office) 公司電話號碼	Fax No. 傳真號碼:

3. FINANCIAL STATUS AND INVESTMENT EXPERIENCE 公司財政狀況及投資經驗 (Please tick the appropriate box) (請在適當空格加 ✓ )					
Investment Knowledge 投資知識:	<input type="checkbox"/> Excellent 精通 <input type="checkbox"/> Good 良好 <input type="checkbox"/> Some 尚可 <input type="checkbox"/> Limited 有限 <input type="checkbox"/> None 無				
Investment Experience 投資經驗:		Over 5 years 超過 5 年	3-5 years 3-5 年	Under 3 years 3 年以下	No Experience 沒有經驗
	Stock 股票				
	Option 期權 / Warrant 認股證				
	Futures 期貨				
	FX 外幣 / Bullion 黃金				
Type 種類:					
Investment Objective 投資目標:	<input type="checkbox"/> Capital Gain 增值 <input type="checkbox"/> Income 收益 <input type="checkbox"/> Speculation 投機 <input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Other 其他				
Latest Annual Profit 最近年度利潤(HKD):	<input type="checkbox"/> < \$250,000 <input type="checkbox"/> \$250,001-\$500,000 <input type="checkbox"/> \$ 500,001-\$1,000,000 <input type="checkbox"/> > \$1,000,001				
Net Asset Value 資產淨值(HKD):	<input type="checkbox"/> < \$500,000 <input type="checkbox"/> \$500,001-\$2,500,000 <input type="checkbox"/> \$2,500,001-\$5,000,000 <input type="checkbox"/> > \$5,000,001				
Source of fund 資金來源:	<input type="checkbox"/> Capital from Business 業務資金 <input type="checkbox"/> Capital Gain from Investment 投資獲取的資本 <input type="checkbox"/> Rent 租金 <input type="checkbox"/> Profit from Business 業務溢利 <input type="checkbox"/> Others, please specify 其他，請說明: _____				
Paid up Capital 法定股本(HKD):					

\*(A monthly fee will be incurred by the Client for the posting which may be subject to change from time to time.

如選擇以郵寄方式收取結單、成交單據及交易確認書，公司將會每月收取服務費，而收費將不時調整)

香港中環康樂廣場 1 號怡和大廈 24 樓 2402 室  
Suite 2402, 24/F, Jardine House, 1 Connaught Place, Central, Hong Kong  
TEL: +852 37555888 FAX: +852 37555889

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<b>4. KNOWLEDGE OF DERIVATIVES 衍生產品的認識 (Please tick the appropriate box) (請在適當空格加 ✓)</b>
Have you ever attended any courses or seminars on structured or derivatives product(s)? 您曾否參加有關結構性或衍生產品的培訓或相關課程? <input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有
Has any of your current work experience been related to structured or derivative product(s)? 您現時的工作經驗是否與結構性或衍生產品有關? <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 不是
Has any of your previous work experience been related to structured or derivative product(s)? 您以往的工作經驗是否與結構性或衍生產品有關? <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 不是
Have you ever had any trading experience in structured or derivative product(s)? 您曾否有買賣結構性或衍生產品的經驗? <input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有 Please state the structured or derivative product(s) you traded: 請提供您以往有買賣的結構性或衍生產品 <input type="checkbox"/> Callable Bull/Bear Contracts (CBBC) 牛熊證 <input type="checkbox"/> Exchange Traded Funds 交易所買賣基金 <input type="checkbox"/> Others 其他 : _____ <input type="checkbox"/> Derivative Warrants 衍生認股證 <input type="checkbox"/> Stock Options 股票期權 <input type="checkbox"/> Exchange Traded Convertible Bonds 交易所買賣換股債券 <input type="checkbox"/> Equity Linked Instruments / Notes (ELI/ELN) 股票掛勾產品 <input type="checkbox"/> Rights 供股權 <input type="checkbox"/> Futures and Options 期貨或期權合約交易
Have you executed five or more transactions in structured or derivative products within the past three years? 您曾否在以往三年內執行過五宗或以上結構性或衍生產品交易? <input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有

<b>5. DESIGNATED BANK ACCOUNT 指定銀行戶口</b> <input type="checkbox"/> Please refer to attached "SSI" 請參照附件 "交收指示"	
Bank Name 銀行名稱:	
Account No. 帳戶號碼:	
Name of Account Holder 帳戶持有人名稱:	
Bank Address 銀行地址 (如為國內銀行, 請提供完整地址及支行名稱):	

<b>6. PARTICULARS OF DIRECTORS 董事詳情:</b> <input type="checkbox"/> Please refer to attachment 請參閱附件*			
	(1)	(2)	(3)
Chinese Name 中文姓名			
English Name 英文姓名			
Identity Document Card No. or Passport No. 居民身份證 / 護照號碼			
Email 電郵			
Mobile 手機號碼			
Residential Address 住址			
Date of Appointment 委任日期			
Signature of Directors 董事簽署			

\* All authorized person(s) of Account Operation instructions and Signatures Arrangement refers to the board minutes attached for details of all Authorized Person(s)  
 向帳戶發出指示及帳戶操作簽署安排等所有授權人士詳情的資料已附於會議記錄

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7. PARTICULARS OF INDIVIDUAL BENEFICIAL OWNER(S) (SHAREHOLDING OF 10% OR MORE) 個人實益擁有人(持有 10%或以上股權)* <input type="checkbox"/> Please refer to attachment 請參閱附件			
	(1)	(2)	(3)
Chinese Name 中文姓名			
English Name 英文姓名			
Identity Document Card No. or Passport No. 居民身份證 / 護照號碼			
Email 電郵			
Mobile 手機號碼			
Residential Address 住址			
Shareholding 所佔權益 (%)			

\*Broadly speaking, “beneficial owners” include any individual who (a) owns or controls, directly or indirectly, not less than 10% of the issued share capital of the company, (b) is, directly or indirectly, entitled to exercise or control the exercise of not less than 10% of the voting rights at general meetings of the company, or (c) exercises ultimate control over the management of the company.

就廣義而言,“實益擁有人”包括(a)直接或間接擁有或控制公司不少於 10%的已發行股本,(b)直接或間接有權於公司股東大會上行使或控制行使不少於 10%的投票權,或(c)對公司管理層行使最終控制權的任何個人。

8. UNITED STATES STATUS CERTIFICATION 美國身分聲明
Is your corporate/UBO/controlling person a “Specified U.S. person”? 貴公司/個人實益擁有人/控權人是否“指定美國人士”?
<input type="checkbox"/> YES 是 <input type="checkbox"/> NO 否      If yes, please specify TIN 如是, 請提供稅務身份號碼: _____
For Client who has the below particular(s), please tick the appropriate box(es). 對於具以下明細的客戶, 請剔取合適的方格。
<input type="checkbox"/> U.S. place of birth 出生地為美國
<input type="checkbox"/> U.S. mailing or residence address (including a U.S. post office box) 郵寄或永久地址為美國
<input type="checkbox"/> U.S. telephone number 美國電話號碼
<input type="checkbox"/> Standing instruction to transfer funds to an account maintained in the United States 常設授權將資金轉至設在美國的帳戶
<input type="checkbox"/> Power of attorney or signatory authority granted to a person with a U.S. address 授予擁有美國地址的人士代理權或簽名權
<input type="checkbox"/> An “in-care-of” or “hold mail” address that is the sole address 提供一個轉交地址或代存郵件地址
<input type="checkbox"/> None of the above 以上全部不是

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<b>9. OTHER DISCLOSURES 其他資料披露(Please tick the appropriate box. 請在適當空格加 ✓ )</b>
<p>Please provide details of ultimate beneficial owner(s) if they are different from the above shareholder(s) information 如最終實益擁有人與上述股東不同, 請提供最終實益擁有人之資料:</p> <p>Name 姓名: _____ (____%), Address 住址: _____ Name 姓名: _____ (____%), Address 住址: _____</p>
<p>Please confirm whether the Client, any of its shareholders or directors, or the ultimate beneficial owner(s) of the Account are director or employee of any exchange participant of The Stock Exchange of Hong Kong Limited or The Hong Kong Futures Exchange Limited? 請聲明 貴公司之股東, 董事或此戶口最終實益持有人是否香港聯合交易所參與者或香港期貨交易所參與者之顧問或董事?</p> <p><input type="checkbox"/> No 不是      <input type="checkbox"/> Yes 是 (If yes, please specify Name &amp; Relationship 如是, 請註明姓名及關係: _____)</p>
<p>Does the spouse of any shareholders, directors, authorized person is currently maintaining Account with our company? 貴公司之股東, 董事或授權人士的配偶是否於本公司設有帳戶?</p> <p><input type="checkbox"/> No 不是 <input type="checkbox"/> Yes, the name of the related exchange participant or registered person as the following. 是, 有關資料如下: Name of Relevant Person 有關人士姓名: _____ Name of Participant 參與者姓名: _____ Position 職位: _____</p>
<p>Do the member of your group companies currently is maintaining account(s) with our company? 貴公司集團旗下公司有否在本公司開設帳戶?</p> <p><input type="checkbox"/> No 沒有      <input type="checkbox"/> Yes 有 (If yes, please specify 如有, 請說明: _____ Relationship 關係: _____)</p>
<p>Does any shareholders, directors, authorized persons are a politically exposed person, senior government official or senior executive of a state-owned corporation? 貴公司之股東, 董事或授權人士是否政治人物、高級政府官員或國有企業高級行政人員?</p> <p><input type="checkbox"/> No 否      <input type="checkbox"/> Yes, Please specify 是, 請說明 _____</p>
<p>Do any shareholders, directors, authorized persons have any margin financing account opened by one of the companies of the client? 貴公司之股東, 董事或授權人士是否有以閣下旗下之公司開立保證金融資帳戶?</p> <p><input type="checkbox"/> No 沒有      <input type="checkbox"/> Yes 有 (If yes, please specify 如有, 請說明: _____)</p>
<p>Does any shareholders, directors, authorized persons either alone or with his/her spouse control 35% or more of the voting rights of another corporate financing margin account with the Company? 貴公司之股東, 董事或授權人士及/或配偶是否單獨或共同控制本公司之其他公司保證金融資帳戶 35%或以上之表決權?</p> <p><input type="checkbox"/> No 沒有      <input type="checkbox"/> Yes 有 (If yes, please specify 如有, 請說明: _____)</p>
<p>Does any shareholders, directors, authorized persons are beneficial owner or guarantor of other accounts or guaranteed by other accounts? 貴公司之股東, 董事或授權人士是否其他帳戶的實益擁有人或擔保人或被其他帳戶作擔保?</p> <p><input type="checkbox"/> No 沒有      <input type="checkbox"/> Yes 有 (If yes, please specify 如有, 請說明: _____)</p>

<b>10. Professional Investor Status 專業投資者身份</b>
<p>Under paragraph(j) of part 1 of schedule 1 to the SFO and the Securities and Futures (Professional Investor) Rules (CAP 571D of the Laws of Hong Kong), the following categories who can provide the supporting documents in the column right to prove his/her status consist with column left are "professional investors". 根據證券及期貨條例以及香港法例第571章證券及期貨(專業投資者)規則(“專業投資者規則”)附表1第1部分第(j)段, 倘相關人士能提供右欄所要求的文件以證明其自身達到左欄的相關要求, 則相關人士為“專業投資者”</p> <p>A corporation or a partnership having a portfolio of at least HKD8 million (or its foreign currency equivalent) or total assets of at least HKD40 million (or its foreign currency equivalent) as at the relevant date (“Corporation/Partnership”). 在有關日期擁有至少8,000,000港元(或其等值外幣)的投資組合或至少40,000,000港元的總資產的企業或合夥人 (“公司/合夥企業”)。</p> <p>A trust corporation having been entrusted under the trust(s) of which it acts as trustee with total assets of at least HKD40 million (or its foreign currency equivalent) as at the relevant date (“Trust Corporation”). 於相關日期已獲委託的信託公司 (“信託公司”), 根據該委託, 其為至少40,000,000港元(或其等值貨幣)總資產的受託人。</p> <p>A corporation, the sole business of which is to hold investments as at the relevant date and which is, as at the relevant date, wholly owned by one or more Individuals, Corporations/Partnerships or Trust Corporations described above. 於相關日期, 公司唯一業務為持有投資, 且於相關日期, 由一名或多名個人、公司/合夥或信託公司全資擁有的公司。</p> <p><input type="checkbox"/> We agree to be treated as a “professional investor” as described above and have given consent in the Corporate Professional Investor Declaration Form. 吾等同意被視為上文所述的“專業投資者”及公司專業投資者聲明書內的內容。</p> <p>*Please also complete the Corporate Professional Investor Questionnaire and provide related proof document 請填寫公司專業投資者問卷及提供相關證明文件</p>

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### 11. DECLARATION BY CLIENTS 客戶聲明

We hereby declare that the information as set out in the above Account Opening Form (Corporate Account) is true, complete and accurate and can be relied upon by you in the satisfaction of your obligations. We undertake to notify you promptly in case of any change of information.

吾等謹此聲明以上開戶申請表格(公司帳戶)中資料真實、完整及正確無誤。貴公司可依此資料履行其義務。凡上述資料如有任何更改，吾等承諾儘快通知貴公司。

We hereby acknowledge and confirm that:

吾等謹此承諾並確認：

- We have received, read and understood the Terms and Conditions of Client Agreement (and the schedules, appendices and annexes thereto, if any), and we accept and agree to be bound by them as the same that may be amended from time to time.  
吾等已收到、閱讀並明白客戶協議之條款及守則(包括其附表、附錄及附件(如有))，而吾等接受並同意可不時被修改的條款所約束；
- We hereby give you notice in writing that we confirm and authorize you to exercise all powers of the Terms and Conditions of Client Agreement, which include but not limited to the Personal Information Collection under Hong Kong Investor Identification Regime and Over-the-counter Securities Transaction Reporting Regime, Client Money Standing Authority, and Additional Terms for China Connect Trading Services (i.e. Section 13, 16 & 24 of Terms and Conditions of Client Agreement), and we hereby agree to the terms and conditions therein;  
吾等在此以書面通知、及確認並授權貴公司行使在客戶協議之條款及守則內全部的常設授權及制度，當中包括但不限於投資者識別碼制度及場外證券匯報制度、客戶款項常設授權及中華通交易服務(“中華通”)之附加條款(即「客戶協議之條款及守則」第 13 條、第 16 條及第 24 條)，吾等明白且同意其條款及細則；
- The Risk Disclosure Statements were provided to us in a language of our choice (English or Chinese), and we were invited to ask questions and take independent advice if we so wished;  
吾等已獲以吾等選擇語言(英文或中文)所撰寫的風險披露聲明並獲邀按意願提出問題及徵求獨立意見；
- We acknowledge that we should visit the company website (<https://www.realordapsec.com.hk/>) from time to time to obtain the latest Terms and Conditions of Client Agreement) and read the contents thereof. Such amendment, deletion, substitution or addition shall be deemed as effective and incorporated herein (and shall form part of the Terms and Conditions) on the date of publication of such amendment notice. We may object in writing within seven (7) days of the date on which the notice of revision is posted on your website, otherwise we will be deemed to have accepted the revised, deleted, replaced or added terms and conditions; and  
吾等應不時登入公司網站(<https://www.realordapsec.com.hk/>) 以獲得最新之客戶協議之條款及守則並細閱其內容。該等修訂、刪除替代或增加的條款將於修訂通知刊載當日生效及納入本證券交易帳戶之條約條款內(並構成本條約條款的一部分)。吾等可於修訂通知在貴公司網站上刊載當日後七(7)日內提出書面反對，否則吾等將被視為接受該等修訂、刪除、替代或增加的條款；及
- We have read Realord Asia Pacific Securities Limited Notice to Customers on the Personal Data (Privacy) Ordinance (Section 12 of Terms and Conditions of Client Agreement), and hereby agrees to the terms and conditions therein.  
吾等已參閱偉祿亞太證券有限公司給予客戶有關《個人資料(私隱)條例》的通知(客戶協議之條款及守則第 12 條)，明白且同意其條款及細則。

Authorized Signature(s) 授權人簽署

Name 姓名: \_\_\_\_\_

Date 日期: \_\_\_\_\_

Company Chop 公司印章

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<b>12.CERTIFICATION 核證</b>			
(Must be completed where the Client Declaration is not signed before a staff member of Realord Asia Pacific Securities Limited)) (如該上述之客戶聲明並非在偉祿亞太證券有限公司職員面前簽署，須填寫此欄)			
To be certified by a person licensed or registered with Hong Kong SFC or an affiliate of a licensed or registered person, a Justice of the Peace, or a professional person (such as a branch manager of a bank, certified public accountant, lawyer or notary public). 由香港證監會發牌或註冊之人士或其聯繫人士、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) 核證。			
I, named below, certify that I have met and identified each of the person(s) who executed this Form before me, and reviewed the original of his/their HKID card(s) or passport(s). 本人(姓名如下)核證，本表格簽署人在本人見證下簽署此文件。本人已核對其香港身份證或護照正本屬真實有效。			
Witness Name 見證人姓名:	Witness profession 見證人職業:	Witness signature 見證人簽署:	Date 日期:

<b>DECLARATION BY STAFF 內部職員聲明</b>			
I, named below, a staff member of Realord Asia Pacific Securities Limited, hereby declare that I: 本人(姓名如下)，偉祿亞太證券有限公司員工，僅此聲明，本人：			
(i) Provided to the above-named Client the risk disclosure statements in a language of the Client's choice (English or Chinese); 已向以上客戶提供以其選擇語言(英文或中文)所撰寫的風險披露聲明；			
(ii) Invited the Client to read the risk disclosure statement, ask questions and take independent advice if the Client so wishes; 已邀請客戶參閱風險披露聲明，並邀請客戶按意願提出問題及徵求獨立意見；			
(iii) Fully explained the contents of risk disclosure statement to the Client in a language which the Clients understands. 已用該客戶明白的語言，向其完整解釋本風險披露聲明的內容。			
Staff Name 員工姓名:	CE Number of Licensed Person 持牌人之中央編號:	Signature of Staff 員工簽署:	Date 日期:

<b>For official use only 只供本行使用</b>			
基本佣金 Basic Brokerage	港股 SEHK :	信用限額 Credit Limit	
	中華通 BCAN:	經紀編號 AE code	
文件確認 Document Reviewed by:			
職員姓名 Name of Staff:	職位 Position:	職員簽署 Signature of Staff:	日期 Date:
開戶批核 Account opening approved by			
職員姓名 Name of Staff:	職位 Position:	職員簽署 Signature of Staff:	日期 Date:
開戶文件輸入 Account opening entry:			
職員姓名 Name of Staff:	職位 Position:	職員簽署 Signature of Staff:	日期 Date: