

ACCOUNT TYPE 賬戶種類: \_\_\_\_\_ ACCOUNT NO. 賬戶號碼: \_\_\_\_\_

- |  |   |  |
|--|---|--|
| <input type="checkbox"/> INDIVIDUAL ACCOUNT 個人賬戶 | <input type="checkbox"/> CORPORATE ACCOUNT 公司賬戶     | <input type="checkbox"/> OTHERS (Please Specify) |
| <input type="checkbox"/> JOINT ACCOUNT 聯名賬戶      | <input type="checkbox"/> PARTNERSHIP ACCOUNT 合夥企業賬戶 | 其他 (請註明): _____                                  |

**SECURITIES ACCOUNT OPENING APPLICATION FORM 開立證券賬戶申請表**

To: **China Merchants Securities (HK) Co., Limited**, a licensed corporation to carry on Type 1 (dealing in securities), Type 2 (dealing in futures contracts), Type 4 (advising on securities), Type 6 (advising on corporate finance) and Type 9 (asset management) regulated activities for the purposes of the Securities and Futures Ordinance (Cap. 571) (CE No.: AA1650) and an Exchange Participant of The Stock Exchange of Hong Kong Limited of 32/F, One Exchange Square, 8 Connaught Place, Central, Hong Kong ("CMSHK")

致: **招商證券(香港)有限公司**, 為根據《證券及期貨條例》(第571章)可進行第1類(證券交易)、第2類(期貨合約交易)、第4類(就證券提供意見)、第6類(就企業融資提供意見)及第9類(資產管理)受規管活動之持牌法團(中央編號: AA1650), 亦為香港聯合交易所有限公司的交易所參與者, 地址位於香港中環康樂廣場8號交易廣場一期32樓(「招商證券(香港)」)

(Words denoting the plural shall include the singular and vice versa. 表示單數的詞語亦含有複數的意思, 反之亦然。)

Dear Sirs, 敬啟者:

**1. APPLICATION FOR ACCOUNT OPENING 申請開戶**

I/We \_\_\_\_\_ (Full Name) ("Customer") hereby request CMSHK to open and maintain the following securities trading account(s) (referred to, together with any other accounts maintained by me/us with CMSHK, as the "Securities Account(s)") and services on the terms and conditions set out in the Securities Account Agreement (the "Account Agreement"), as may be amended from time to time.

本人/吾等 \_\_\_\_\_ (全名) (「客戶」) 向招商證券(香港)申請開立以下證券交易賬戶(連同本人/吾等在招商證券(香港)開立任何其他賬戶稱為「證券賬戶」), 並根據證券賬戶協議(「賬戶協議」)所載的條款及條件(不時修訂)提供服務。

**2. TYPES OF ACCOUNT(S) AND SERVICES 賬戶種類及服務**

I/We apply for the opening of the following Securities Account(s) 本人/吾等申請開立以下證券賬戶:	<input type="checkbox"/> Securities Cash Account 證券現金賬戶	<input type="checkbox"/> Securities Margin Account 證券保證金賬戶
	<input type="checkbox"/> Equity Options Account 股票期權賬戶	
Internet Trading Services 互聯網交易服務: (Internet Trading Services is necessary if trading non-HK listed securities 如需買賣非香港上市證券, 必須開通互聯網交易服務)	<input type="checkbox"/> Required 需要	<input type="checkbox"/> Not required 不需要
Other Electronic Services (as defined in the Securities Account Agreement - Clause 1.1) 其他電子服務 (定義見證券賬戶協議 - 第 1.1 條):	<input type="checkbox"/> Required 需要	<input type="checkbox"/> Not required 不需要
Trading in non-HK listed securities 買賣非香港上市證券:	<input type="checkbox"/> Not required 不需要	<input type="checkbox"/> Required 需要, please specify any market(s) that should <b>not</b> be included 如需要, 請註明不應包括在內的市場: _____

**3. CONFIRMATIONS AND ACKNOWLEDGEMENTS 確認及承認**

- (a) **Receipt of documents.** I/We acknowledge my/our receipt of: 茲收文件。本人/吾等確認收到: (i) the Account Agreement; and 賬戶協議; 及(ii) the Securities Services Fee Schedule (the "Fee Schedule") (subject to change from time to time). 證券服務費用列表(「費用列表」)(會不時修改)。
- (b) **Provision of documents.** The Customer agrees to provide CMSHK with such information as may be requested by CMSHK from time to time in connection with the opening of any Securities Account(s). 文件的提供。客戶同意向招商證券(香港)提供其不時為了開立證券賬戶所需要的資料。
- (c) **Risk Disclosure Statements.** I/We hereby acknowledge and confirm that this Form and the Account Agreement, including but not limited to the following Risk Disclosure Statements set out in Schedule III of the Account Agreement (please tick as appropriate): 風險披露聲明。本人/吾等謹此承認及確認, 本表格及賬戶協議, 包括載於賬戶協議附表 III 的下列風險披露聲明(請選擇合適者): (i) Part I - Risk Disclosure Statements And Disclaimers For Trading In Securities 第 I 部 - 關於證券交易的風險披露聲明及免責聲明; (ii) Part II - Risk Disclosure Statements And Disclaimers For Trading In China Connect Securities (i.e. selected Securities listed on a relevant China Connect Market, including the Shanghai Stock Exchange, as prescribed by the relevant China Connect Rules) 第 II 部 - 關於中華通證券交易之風險披露聲明及免責聲明(即相關中華通規則指定的在相關中華通市場(包括上證所)上市的特選證券); (iii) Part III - Risk Disclosure Statements And Disclaimers For Trading In Options 第 III 部 - 關於期權交易的風險披露聲明及免責聲明; (iv) Part IV - Derivative Risks 第 IV 部 - 衍生工具風險; (v) Part V - Miscellaneous Risks 第 V 部 - 其他風險; (vi) Part VI - Risk Disclosure Statement For Electronic Trading 第 VI 部 - 關於電子交易的風險披露聲明
- (d) **Standing Authority (if applicable).** I/We hereby acknowledge and confirm that I/we have Authorised CMSHK to deal with the monies held or received by CMSHK in the Securities Account(s) on behalf of me/us in accordance with the Standing Authority (Client Securities), Standing Authority (Client Money) and clause 3.5 of the Securities Account Agreement and the contents thereof have been explained to me/us and I/we understand the contents of that clause. 常設授權(如適用)。本人/吾等承認和確認, 本人/吾等已授權招商證券(香港)根據常設授權(客戶證券)、常設授權(客戶款項)及證券賬戶協議第 3.5 條, 處理由招商證券(香港)代本人/吾等在證券賬戶內持有或收取款項, 而上述條款內容已予本人/吾等作解釋。本人/吾等已明白該內容。
- (e) **Agreement and Customer Information Form.** I/We hereby confirm that I/we have read and agreed to this Form, completed the Customer Information Form and have read and agreed to the terms and conditions of this Form, the Customer Information Form and the Account Agreement, all of which form the agreement (the "Agreement") made between CMSHK and me/us in relation to the Securities Account(s). 協議及客戶資料表。本人/吾等確認已閱讀並同意本表格內容、已填寫客戶資料表, 並已閱讀賬戶協議。上述文件全部構成招商證券(香港)和本人/吾等就證券賬戶所訂立的整體協議(「協議」)。
- (f) **Representation and Warranty.** I/We represent and warrant that the information on this Form and the Customer Information Form is true, complete and accurate and that the representations and warranties in the Agreement are true, complete and accurate. CMSHK is entitled to rely fully on such information and representations for all purposes, unless it receives notice in writing of any change. CMSHK is Authorised at any time to contact anyone, including my/our banks, brokers, or any credit agency, for the purpose of verifying the information provided on the Customer Information Form. 陳述及保證。本人/吾等陳述及保證, 本表格及客戶資料表內的資料均為真實、完整及準確, 而協議內的陳述及保證亦是真實、完整及準確的。招商證券(香港)有權為任何目的完全依賴該等資料及陳述, 但如收到書面通知其中有任何變動者則除外。招商證券(香港)有權隨時聯絡任何人士(包括本人/吾等的銀行、經紀或任何信用調查機構)以核實客戶資料表內的資料。
- (g) **Personal Data.** I/We have carefully read, fully understood and agreed to accept and be bound by the Notice from CMSHK relating to the Personal Data (Privacy) Ordinance (Cap. 486) as set out in Schedule IV to the Account Agreement. 個人資料。本人/吾等已仔細閱讀、完全明白和同意接受賬戶協議附表 IV 所載, 且由招商證券(香港)所發出有關《個人資料(私隱)條例》(第 486 章)的通知, 並同意受其約束。
- (h) **Disclosure of Information.** I/We hereby acknowledge and confirm that I/we have Authorised CMSHK to disclose my information to any government bodies, regulatory authorities or such other persons (whether within or outside Hong Kong) pursuant to the terms of the Account Agreement. 披露資料。本人/吾等謹此承認和確認已經授權招商證券(香港)可根據賬戶協議的條款向任何政府機構、監管當局或其他人士(不論在香港境內或海外)披露本人的資料。

**SIGNED by 由以下人士簽署**
**Individual Customer 個人客戶 / Joint Customers 聯名客戶**

<b>Individual Customer's Signature 個人客戶簽署:</b>	<b>Joint Customer's Signature 聯名客戶簽署:</b>
Name 姓名:	Name 姓名:
ID / Passport No. 身份證/護照號碼:	ID / Passport No. 身份證/護照號碼:
Date 日期:	Date 日期:

**Corporate 公司 / Partnership Customer 合夥企業客戶**

For and on behalf of the Customer (Authorised Signatory) 代表客戶(獲授權簽署人):

Name(s) 姓名:	ID / Passport No. 身份證/護照號碼:	Date 日期:
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**WITNESS FOR POSTAL OR NON-EMPLOYEE OF LICENSED CORPORATION ACCOUNT OPENING**

郵遞開戶的見證或非持牌人或註冊人的僱員開戶見證

(Note: If you are opening the Securities Account(s) by way of post, or the Account Agreement is not executed in presence of the employee of licensed person or registered person, please arrange for other person registered with the Securities and Futures Commission, 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 to witness your signature of the Account Agreement and sighting of related identity documents by using the this section.)

(附註：如閣下以郵遞方式開立證券賬戶，或賬戶協議並非在持牌人或註冊人的僱員面前簽立，請安排其他證券及期貨事務監察委員會註冊人、註冊人的聯繫人士、太平紳士或專業人士如銀行分行經理、執業會計師、律師或公證人在此欄中簽署並驗證閣下簽立本賬戶協議及有關的身份證明文件。)

In the presence of (Witness) 以下人士見證 (見證人):

Name 姓名:	ID / Passport No. 身份證 / 護照號碼:	Occupation 職業:	
Address 地址:		Date 日期:	

**DECLARATION BY LICENSED PERSON 持牌人的聲明**

The Risk Disclosure Statements have been provided to the Customer in a language of his/their choice (English or Chinese) and I have invited him/them to read the Risk Disclosure Statements carefully, ask questions and take independent advice if he/they wish(es). 本人已按客戶所選擇的語言 (英文或中文) 向其提供風險披露聲明，而本人已忠告客戶應仔細閱讀該風險披露聲明、作出提問，並按其意願尋求獨立意見。

Signature of Licensed Person 持牌人簽署:

Name 姓名:	CE No. 中央編號:	Date 日期:
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**ACKNOWLEDGED BY CHINA MERCHANTS SECURITIES (HK) CO., LIMITED 由招商證券 (香港) 有限公司承認**

CMSHK acknowledges and agrees to the above. 招商證券 (香港) 承認並同意以上各項。

Duly Authorised for and on behalf of 獲正式授權代表  
China Merchants Securities (HK) Co., Limited 招商證券 (香港) 有限公司

CMSHK Responsible Officer 招商證券 (香港) 的負責人員:	CE No. 中央編號:	Date 日期:
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**FOR INTERNAL USE ONLY 僅供內部使用**

Cash A/C 現金賬戶       Margin A/C 保證金賬戶       Equity Options A/C 股票期權賬戶

Internet Trading 互聯網交易       Other Electronic Services 其他電子服務

A/C Introduced by/Date 開戶介紹人 / 日期:

A/E Code 客戶主任代號	Brokerage 佣金	Interest Rate 利率	%
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Additional Information 其他資料:

Mode of transmission of account opening documents with Customer(s): 與客戶傳送開戶文件的方法:

In-person 親身       By email 電郵       By post 郵件

CMSHK staff attending 出席的招商證券 (香港) 職員:

CE Number 中央編號:

Representative of Customer attending 出席的客戶代表:

Recommend or appropriate for completing Category B professional investor assessment procedures? 建議作出 B 類專業投資者評估程序?

Yes 是       No 否

Approval Date (remarks) 批准日期 (備注):

**Trading Facility Application 交易信貸申請**

Having completed the review of the Customer Information Form and all other documents provided by Customer(s), I/we, as an Authorised person(s), approve the following limits 在完成審閱客戶資料表及客戶所提供的其他文件後，本人 / 吾等 (作為獲授權人士) 批准以下限額:

(For Cash Account 適用於現金賬戶 / Margin Account 保證金賬戶)	(For Margin Account ONLY 僅適用於保證金賬戶)	(For Equity Options Account ONLY 僅適用於股票期權賬戶)
Trading Limit 交易限額:	Maximum Exposure Limit 保證金上限額度	Maximum Margin 股票期權最高保證金限額:
Signature of Approver(s) 批准人簽署:	Signature of Approver(s) 批准人簽署:	Signature of Approver(s) 批准人簽署:

Input Date 輸入日期: \_\_\_\_\_

Check Date 檢查日期: \_\_\_\_\_