

Tianda Securities Limited

天大証券有限公司

Level 24, CITIC Tower, 1 Tim Mei Avenue, Central, Hong Kong

香港中環添美道 1 號中信大廈 24 樓

Tel 電話: 852-3972-0688 Fax 傳真: 852-3152-3818

Tianda Securities Limited ("TSL" or the "Company") carries on the business of dealing in securities and is licensed to carry on Type 1 (dealing in securities) regulated activity under the Securities and Futures Ordinance (Cap. 571) (CE No. AVT666).

天大証券有限公司("天大証券"或"本公司")經營的是證券交易的業務,並根據證券及期貨條例(第571章)獲發牌經營第一類(證券交易)受規管活動(中央編號:AVT666)。



Account no. 帳戶號碼:

ACCOUNT OPENING FORM (CORPORATE ACCOUNT)**帳戶開戶表格 (公司帳戶)****1. Securities Trading Account 證券交易帳戶**

Type of Account 帳戶類別	<input type="checkbox"/> Cash 現金	<input type="checkbox"/> Margin 保證金
Method of Placing Order 落盤方式	<input type="checkbox"/> By Telephone 電話落盤	<input type="checkbox"/> By Internet 網上落盤

Please complete in BLOCK LETTERS 請用正楷填寫

2. Corporate Information 公司資料

Client Name 客戶姓名		
English 英文:	_____	
Chinese 中文:	Scope of Business 業務範圍:	_____
Registered Address 註冊地址:	_____	
Business Address 商業地址:	_____	
Country of Incorporation 註冊成立國家:	Date of Incorporation 註冊成立日期:	_____
Business Registration No. 商業登記號碼:	Certificate of Incorporation No. 公司註冊號碼:	_____
Office Tel. No. 公司電話號碼:	Fax No. 傳真號碼:	_____
E-mail Address 電郵地址:	CCASS Account Name & No. (For Securities Account Only) 中央結算帳戶名稱及帳戶號碼(只適用於證券帳戶): _____	

3. Director(s) 董事

Name of Director 董事姓名	Contact No. 聯絡電話號碼	Residential Address 居住地址
_____	_____	_____
_____	_____	_____
_____	_____	_____

4. Shareholder(s) 股東

Registered Shareholder 註冊股東姓名	No. of Shares 持股數量	Residential Address 居住地址
_____	_____	_____
_____	_____	_____
_____	_____	_____

5. The Ultimate Beneficial Owner(s) 最終權益擁有人

Name & ID/Passport No. 姓名及身份證/護照號碼	Contact No. 聯絡電話號碼	Residential Address 居住地址
_____	_____	_____
_____	_____	_____

6. Share Capital 股本

Authorized Share Capital 法定股本：_____	Par Value of Each Share 每股面值：_____
Issued Share Capital 已發行股本：_____	Par Value of Each Share 每股面值：_____
7. Financial Profile 財務狀況	
Latest Annual Profit 最近年度稅後純利：_____	Annual Profit (after tax) in preceding year 前一年度稅後純利：_____
Total Net Asset Value 資產淨值：_____	Liquid Assets 流動資產：_____
8. Investment Experience 投資經驗	
i) Products 產品 <input type="checkbox"/> Stocks/Investment Funds <input type="checkbox"/> Bonds <input type="checkbox"/> Derivatives(Futures/Options/Warrants) <input type="checkbox"/> Foreign Currencies <input type="checkbox"/> Others其他：_____ 股票/投資基金 債券 衍生工具(期貨/期權/認股權證) 外幣	
ii) Experience(in year(s))經驗(年) <input type="checkbox"/> Less than 1 year 少於一年 <input type="checkbox"/> 1-5 years 一至五年 <input type="checkbox"/> 6-10 years 六至十年 <input type="checkbox"/> More than 10 years 多於十年	
9. Investment Objectives and Risk Tolerance 投資目的及可承受風險	
i) Investment Objective 投資目的： <input type="checkbox"/> Capital Gain 資本增值 <input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Income 收入 <input type="checkbox"/> Speculation 投機 <input type="checkbox"/> Others 其他：_____	
ii) Risk Tolerance•可承受風險• <input type="checkbox"/> Low 低風險 <input type="checkbox"/> Medium 中等風險 <input type="checkbox"/> High 高風險 •Securities Margin Account belongs to Medium and/or High risk categories. 證券保證金買賣帳戶屬於“中等風險”及/或“高風險”類別。	
10. Client's Knowledge of Derivative Products 客戶對衍生產品的認識	
The Client acknowledges and understands the Company will assess whether the Client has adequate knowledge on derivative products according to the information the Client provided. 客戶知悉及明白公司將根據以下的資料以評估客戶是否對衍生工具產品有認識。	
<input type="checkbox"/> 1. The Client underwent training or attended courses on derivative products. 客戶曾接受有關衍生產品的培訓或修讀相關課程。	
<input type="checkbox"/> 2. The Client has current or previous work experience related to derivative products. 客戶現時或過去擁有與衍生產品有關的工作經驗。	
<input type="checkbox"/> 3. The Client has executed five or more transactions within the past three years in derivative products, e.g. Derivative Warrants, Callable Bull/Bear Contracts, Stock Options, Futures and Options, Commodities, Structured Products, and Exchange Traded Funds, etc. 客戶於過去 3 年曾執行 5 次或以上有關衍生產品的交易，例如：衍生權證、牛熊證、股票、期權、期貨及期權、商品、結構性產品及交	
<input type="checkbox"/> 4. The Client has NOT acquired knowledge of derivative products. 客戶沒有衍生工具之認識。	
11. Settlement Account Information 結算帳戶資料	
i) Hong Kong Dollar Account 港元帳戶 The Client hereby instructs and authorizes that the following Hong Kong dollar account of a Hong Kong licensed bank will be used as the settlement bank account for Hong Kong dollar. Payment due from the Company to the Client shall, at the cost and risk of the Client, be settled by depositing a cheque into or transferring payment to the said bank account: 客戶謹此指示及授權使用以下香港持牌銀行的港元帳戶，作為港元結算帳戶。本公司結欠客戶的款項，須透過存入支票或轉帳至此銀行帳戶結算，其費用及風險由客戶承擔： Bank 銀行：_____ Account Name 帳戶名稱：_____ Account No. 帳戶號碼：_____	
ii) Foreign Currency Account 外幣帳戶 The Client hereby instructs and authorizes that the following foreign currency account will be used as the settlement bank account for that foreign currency. Payment due from the Company to the Client shall, at the cost and risk of the Client, be settled by depositing a cheque into or transferring payment to the said bank account: 客戶謹此指示及授權使用以下外幣帳戶，作為有關外幣的結算帳戶。本公司結欠客戶的款項，須透過存入支票或轉帳至此銀行帳戶結算，其費用及風險由客戶承擔： Currency 貨幣 : _____ SWIFT Code SWIFT 代碼 : _____ Bank 銀行 : _____ Bank Address 銀行地址 : _____	

Branch 分行 : _____ Account Name 帳戶名稱 : _____
Account Number 帳戶號碼 : _____ Remarks 備註 : _____

12. Daily Statements / Contract Notes / Monthly Statements to be delivered to 日結單/買賣單據/月結單交付方式

i) Statements will be sent to Client: (Please select one)

帳戶結單將透過以下途徑寄往客戶: (請選擇其中一項)

Registered Address 註冊地址 Business Address 商業地址 E-mail Address 電郵地址

ii) Language of Statements 帳戶結單語言: Chinese 中文 English 英文

ACCOUNT OPERATION 帳戶操作

13. Authorized Person 獲授權人士

The Client hereby appoints the following persons as the Authorized Person(s) in relation to verbal and written instructions.
就口頭指示及書面指示, 客戶謹此委任以下人士作為獲授權人士。

i) Verbal Instructions 口頭指示

Verbal instructions given by any one of the following Authorized Person(s) will be valid:
以下任何一位獲授權人士所給予的口頭指示均為有效:

	Authorized Person (1) 獲授權人士 (1)	Authorized Person (2) 獲授權人士 (2)	Authorized Person (3) 獲授權人士 (3)
Name 姓名:	_____	_____	_____
HKID / Passport No. 香港身份證護照號碼:	_____	_____	_____
Contact No. 聯絡電話號碼:	_____	_____	_____

ii) Written Instructions 書面指示

Written instructions given by any _____ of the following Authorized person(s) will be valid:
以下_____位獲授權人士所給予的書面指示均為有效:

	Authorized Person (1) 獲授權人士 (1)	Authorized Person (2) 獲授權人士 (2)	Authorized Person (3) 獲授權人士 (3)
Name 姓名:	_____	_____	_____
HKID / Passport No. 香港身份證護照號碼:	_____	_____	_____
Contact No. 聯絡電話號碼:	_____	_____	_____
Specimen Signature 簽名式樣:	_____	_____	_____

iii) Settlement Instructions 交收指示

Settlement instructions given by any _____ of the following Authorized person(s) will be valid:
以下_____位獲授權人士所給予的交收指示均為有效:

	Authorized Person (1) 獲授權人士 (1)	Authorized Person (2) 獲授權人士 (2)	Authorized Person (3) 獲授權人士 (3)
Name 姓名:	_____	_____	_____
HKID / Passport No. 香港身份證護照號碼:	_____	_____	_____
Contact No. 聯絡電話號碼:	_____	_____	_____
Specimen Signature 簽名式樣:	_____	_____	_____

DECLARATION 聲明

14. Disclosure of Related Account(s) 披露關連帳戶

i) Is the Client's shareholder, director, partner, authorized person or ultimate beneficial owner related to any employee or director of the Company or its associated companies?

客戶之股東、董事、合夥人、獲授權人或帳戶最終權益擁有人是否與本公司或其聯營公司之任何僱員或董事有任何親屬關係?

No 否 Yes 是 (Please provide details below 請填寫以下資料)

Name of employee / director 僱員/董事姓名 : _____ Relationship 關係 : _____

ii) Is any member of the Client's group of companies a client of the Company?

客戶的公司集團任何成員是否為本公司之客戶?

No 否 Yes 是 (Please provide details below 請填寫以下資料)

Name of the relevant group member(s) Account No.
有關集團成員帳戶名稱: 帳戶號碼:

iii) Does the Client and/or any member of the same group of companies of the Client control 35% or more of the voting rights of any client of the Company?

客戶及/或客戶的公司集團任何成員是否控制本公司任何客戶的 35% 或以上的表決權?

No 否 Yes 是 (Please provide details below 請填寫以下資料)

Name of the controlled client 受控制客戶名稱: Account No. 帳戶號碼:

15. Disclosure of Identity 披露身份

Is the Client ultimately responsible for originating instructions for the transactions of the Account(s)?

客戶是否最終負責對該帳戶之交易發出指示?

Yes 是

No, particulars of person(s) originating the instructions are as follows 否, 下列為負責發出交易指示者資料:

Name 姓名: ID/Passport/Incorporation No. 身份證/護照/公司註冊證書號碼:

Address 地址:

16. Client's Declaration for Data Protection 客戶個人資料保障聲明

The Client has carefully read, fully understood and agreed to accept and be bound by the Section IX Notice To Clients Relating To The Personal Data (Privacy) Ordinance ("NTC") in TSL's Terms and Conditions.

客戶已仔細閱讀, 完全理解並同意接受並遵守載於天大証券的交易條款及條件中第九章關於《個人資料(私隱)條例》致客戶的解釋說明(「該說明」)。

The Client hereby consents to the contents of the NTC and the use of the data by TSL in direct marketing.

客戶謹此同意該說明的所有內容及同意天大証券使用其個人資料作直接促銷用途。

Please tick the box below if disagree:

如不同意, 請在以下空格加上「✓」號

The Client does not consent to the use of his/her personal data in direct marketing for financial, securities, commodities, derivatives, investment, financing, insurance, MPF/ORSO, wealth management, investor education and related services, products and facilities, reward, loyalty or privileges programmes or donations and contributions for charitable and/or non-profit making purposes.

客戶不同意天大証券使用其個人資料於直接促銷金融、證券、商品、衍生產品、投資、信貸、保險、強積金/職業退休計劃、財富管理、投資者教育及相關服務、產品及設施, 獎賞、年資獎勵或優惠計劃或慈善及/或非牟利目的而作出之捐款及捐贈。

17. Risk Disclosure Statements and Disclaimers 風險披露聲明與免責聲明

The Client acknowledges and confirms that the Client has read the relevant risk disclosure statements and disclaimers which were provided in a language of the Client's choice as set out in the Terms and Conditions. The Client also acknowledges and confirms that the Client was invited to read the risk disclosure statements and disclaimers as set out in the Terms and Conditions, ask questions, and take independent advice if the Client wishes.

客戶知悉及確認已閱讀其所選擇語言之條款及條件內有關風險披露聲明與免責聲明。客戶亦知悉及確認已獲邀參閱於條款及條件內有關之風險披露聲明與免責聲明、提出問題及按其意願諮詢獨立意見。

18. Declaration and Agreement by Client 客戶的聲明及同意

The undersigned (whose particulars are set out in this Account Opening Form) (the "Client"), agrees to open trading account(s) (the "Account(s)") with the Company upon and subject to all the provisions of this Account Opening Form and the relevant Sections of "Terms and Conditions for Trading Accounts" (the "Terms and Conditions") applicable to the Account(s) that the Client applies to open.

以下簽署人(其資料詳列於本帳戶開戶表格)(「客戶」)同意按照本帳戶開戶表格的所有條款, 以及相關章數的《交易帳戶條款及條件》(「條款及條件」)中適用於客戶申請開立之帳戶的所有條款及條件, 在本公司內開立交易帳戶(「帳戶」)。

By signing this Part, the Client hereby declares, agrees and confirms that:-

倘簽署本部份, 客戶現聲明、同意及確認:-

(a) the information provided in this Account Opening Form is complete, true and accurate. The Company is entitled to rely fully on such representations and information for all purposes, unless the Client informs the Company in writing of any change to that information;
於本帳戶開戶表格所提供的資料屬完整、真實及準確。本公司有權基於一切目的倚賴此等陳述及資料, 除非客戶以書面通知本公司有關資料的任何改變;

(b) the Client has fully read, understood and confirmed, and agrees and accepts to be bound by all the provisions of this Account Opening Form and the Terms and Conditions (as amended from time to time) applicable to the Account(s) that the Client applies to open with the Company. The Client has been advised by the Company to seek independent legal advice;
客戶已完全閱讀、明白及確認, 以及同意並接納本帳戶開戶表格的所有條款, 以及適用於客戶向本公司申請開設之帳戶的所有條款及條件(及其不時作出的修改)並同意受其約束。本公司已建議客戶尋求獨立法律意見;

(c) the contents of the Terms and Conditions have been fully explained to the Client in a language which the Client understands;
條款及條件的內容已以客戶明白的語言向客戶作出充分的解釋;

(d) the Company reserves its rights to amend the Terms and Conditions from time to time. Such amendments shall be incorporated into the Terms and Conditions unless objected to in writing by the Client within 14 days from the notice of the Company;
本公司保留不時更改條款及條件的權利。除非客戶在本公司發出通知後的 14 天之內以書面提出反對, 上述的改動將被納入條款及條件之內;

(e) In the event that there is any inconsistency between the English version and the Chinese version of the Account Opening Form and the

Terms and Conditions, the English version shall prevail. The Company may provide a hard copy of the English version upon request; and 本帳戶開戶表格和條款及條件之中文版本及英文版本如有任何歧義，概以英文版本為準。如有要求，本公司會提供英文版本列印本；及 (f) the Client has read and understood the policy of the Company in relation to information of the Client as contained in the Terms and Conditions, and agrees and accept to its terms. 客戶已閱讀及明白本公司載於條款及條件內有關客戶資料的政策部份，並同意及接納其條款。

Client Name (Corporate Account Holder) 客戶名稱 (公司帳戶持有人)	Company Chop & Authorized Signature 公司印章及授權人簽署
	Date(dd/mm/yy)日期(日日/月月/年年) _____

19. Witness Signature 見證人簽署

IF THE DOCUMENT IS NOT EXECUTED BY THE CLIENT(S) IN FRONT OF TSL'S EMPLOYEE/LICENSED OR REGISTERED STAFF OR SUBMITTED WITH AN APPROPRIATE CHEQUE ☉, BELOW SHOULD BE SIGNED BY A SPECIFIED PERSON § [if applicable] 若客戶/聯名客戶並非在天大證券的僱員/持牌或註冊人員面前簽立此文件或連同適當的支票 ☉ 一併遞交，則以下應由指定人士 § 簽署 [若適用者]
 The undersigned person hereby certify the signing of this document (together with the above Agreement) by the above Client/ Joint Clients (please delete either one) and sighting of related identity documents of such Client(s).
 下述簽署人士謹此驗證上述客戶/聯名客戶(請刪去其中一項) 簽立此文件(連同該協議書) 及其有關的身份證明文件:-

Witness Signature 見證人簽署	Witness Name 見證人姓名 _____
	ID Card/Passport/CE No. 身份證/護照/CE 編號 : _____
Date(dd/mm/yy)日期(日日/月月/年年) _____	Occupation of Witness 見證人職務 : _____

Contact details 聯絡資料
 Tel. No. 電話號碼 : _____ Email Address 電郵地址 : _____

☉ A crossed cheque bearing your name shown in your identity document and drawn on your account with a licensed bank in Hong Kong with your same signature(s) as shown in this Form in favour of "Tianda Securities Limited" for not less than HKD10,000 (or such other amount as may be advised by TSL. Your approved new account will not be activated until the cheque is cleared.
 客戶在香港的持牌銀行開立的帳戶並由客戶所簽發(該簽名須與此開戶表上的客戶簽名相符)並載有客戶在其身份證明文件上所顯示的姓名的劃線支票，而該支票抬頭人須為"天大證券有限公司"及其數額不得少於 10,000 港元(或天大證券通知客戶的其他數額)。客戶被批核的新帳戶必須待支票兌現後才可使用。
 § Any SFC licensed or registered person, an affiliate of such person, a Justice of the Peace, a Branch Manager of a bank, Certified Public Accountant, Lawyer or Notary Public.
 任何香港證監會持牌人或註冊人、其聯繫人士、太平紳士、銀行分行經理、執業會計師、律師或公證人。

20. Declaration by the licensed or registered staff 持牌或註冊人員之聲明

The Client has been provided with the relevant risk disclosure statements and disclaimers in a language of the Client's choice. The undersigned licensed or registered staff has invited the Client to read the risk disclosure statements and disclaimers as set out in the Terms and Conditions, ask questions and take independent advice if the Client wishes.
 客戶已獲提供以其所選語言之有關風險披露聲明及免責聲明。以下簽署之持牌或註冊人員已邀請客戶參閱條款及條件及當中列明之風險披露聲明及免責聲明、提出問題及按其意願諮詢獨立意見。

Signature of licensed or registered staff 持牌或註冊人員簽署	Name of licensed or registered staff (in block letters) 持牌或註冊職員姓名 (正楷填寫) _____
	A.E. Code 客戶主任編號 : _____
Date(dd/mm/yy)日期(日日/月月/年年) _____	C.E. No. 證監會中央編號 : _____

For and on behalf of
 TIANDA SECURITIES LIMITED acknowledges and agrees
 代表天大證券有限公司確認並同意

 Authorized Signature
 授權簽署
 Date(dd/mm/yy)
 日期(日日/月月/年年) :

Please attach 請附上：

- Document giving authority to the authorized person(s) to open the account (e.g. Minutes of the Board of Directors' meeting).
開立帳戶授權文件(例如董事會會議記錄)。
- Certified true copy of the Certificate of Incorporation, Business Registration Certificate, Memorandum and Articles of Association.
公司註冊證書、商業登記證書、組織章程大綱及章程細則的核證副本。
- Certified true copy of the Register or Directors.
董事名冊核證副本。
- Certified true copy of the Register of Members.
客戶的股東名冊核證副本。
- Certified true copies of the Hong Kong ID Card(s) or Passport(s) of all Authorized Persons, Directors and Ultimate beneficial owner(s).
所有獲授權代理人、董事及帳戶最終實質權益的人士之香港身份證或護照核證副本。
- Certified true copies of a bank statement or utility bill within the last 3 months of all Authorized Persons, Directors and Ultimate beneficial owner(s) for proof of residential address.
所有獲授權代理人、董事及帳戶最終實質權益的人士之最近 3 個月的銀行結單公共服務單核證副本作住址證明。
- Certified true copy of the Certificate of Incumbency (Applicable for non-HK registration companies)
董事在職證明核證副本 (海外註冊成立的公司)
- Certified true copies of the audited accounts for the last two years and a balance sheet at a date not more than two months before the date of this Form, or such other financial information as TSL may from time to time agree.
過去兩年的經審計帳目的核證副本及不超過本開戶表日期前兩個月的資產負債表或其他天大証券不時同意的財務資料。