



英明證券有限公司  
**PHOENIX CAPITAL SECURITIES LIMITED**

Exchange Participant of The Stock Exchange of Hong Kong Limited

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開戶表格(證券(現金/保證金)/期貨)

**ACCOUNT OPENING FORM**

**(Securities (Cash/Margin) / Futures)**

(公司帳戶)

(Corporate Account)

\*\*\*\*\*

客戶姓名

Client Name: \_\_\_\_\_

客戶編號

Account No.: \_\_\_\_\_

英明證券有限公司是一間根據《證券及期貨條例》註冊並獲發牌進行第一及二類受規管活動的持牌法團(中央編號:ABF268)  
Phoenix Capital Securities Limited is a licensed corporation for Types 1 & 2 regulated activities under the Securities and Futures Ordinance (CE Number: ABF268)

註冊地址Registered address: 香港中環德輔道中54-58號中環李錦記2樓2/F Lee Kum Kee Central, 54-58 Des Voeux Road Central, Central, Hong Kong  
電話 Tel: (852) 2541 1833 傳真 Fax: (852) 2541 1022 網址 Website: www.phoenixcap.com

中英文本有任何歧議,須以英文文本為準  
The English text shall prevail in event of any inconsistency between the English and Chinese texts

致：英明證券有限公司  
To: Phoenix Capital Securities Limited

本公司謹此向英明證券有限公司申請以本公司的名義開設及維持期貨、現金及/或保證金證券交易帳戶(「帳戶」)，以用作指示英明證券有限公司代本公司買賣及以其他方式處置期貨、證券及其他投資；而本公司已從英明證券有限公司接獲及閱讀管轄帳戶的開戶條款及條件，以及將提供的任何服務及安排(「條款及條件」)，並謹此接納並同意受本開戶表格的條文及英明證券有限公司不時可能修訂及通知的條款及條件所約束。

We hereby apply to Phoenix Capital Securities Limited to open and maintain one or more futures, cash and/or margin securities trading account("Account(s)") in my/our name for the purpose of instructing Phoenix Capital Securities Limited to buy and sell, and otherwise deal with, futures, securities and other investments on my/our behalf and we have received and read the Phoenix Capital Securities Limited Account Opening Terms and Conditions governing the Account(s) and any services and facilities to be provided by Phoenix Capital Securities Limited ("Terms and Conditions") and hereby accept and agree to be bound by the provisions of this Account Opening Form and the Terms and Conditions as may be amended and notified by Phoenix Capital Securities Limited from time to time.

| 申請帳戶為公司帳戶<br>Application for Corporate Account   | 帳戶類別 Account Type<br>(如適用請加“✓” Please “✓” as appropriate)      |
|--|--|
| <input type="checkbox"/> 網上交易服務 Internet Trading Services<br>(必須提供有效電子郵件 must provide valid email address) <ul style="list-style-type: none"><li>• 本公司已經閱讀並明白「網上服務條款及條件」，並接受其約束。<br/>We understand and agree to be bound by those "On-Line Trading Terms and Conditions".</li><li>• 網上交易(即電子交易服務)可買賣之投資產品範圍存有限制，以系統實際提供為準。<br/>The investment products available for electronic trading are limited and subject to the actual operation of the trading system.</li></ul> | <input type="checkbox"/> 證券現金帳戶#<br>Securities Cash Account    |
|  | <input type="checkbox"/> 證券保證金帳戶#<br>Securities Margin Account |
|  | <input type="checkbox"/> 期貨帳戶<br>Futures Account               |

# 包括英明證券有限公司不時更新之海外股票市場  
Including the overseas stock market(s) from time to time updated by Phoenix Capital Securities Limited

## 第 1 部份 - 公司資料 Section 1 – Corporate Information

商號名稱(中文) \_\_\_\_\_  
Business Name(英文) \_\_\_\_\_

業務地址 \_\_\_\_\_  
Business Address \_\_\_\_\_

註冊地址(如適用) \_\_\_\_\_  
Registered Address  與業務地址相同 same as Business Address  
 其他 Others: \_\_\_\_\_

通訊地址(如適用) \_\_\_\_\_  
Mailing Address  與業務地址相同 same as Business Address  與註冊地址相同 same as Registered Address  
 其他 Others: \_\_\_\_\_

註冊成立國家/地區 \_\_\_\_\_ 註冊成立日期 \_\_\_\_\_  
Place of establishment Establishment Date \_\_\_\_\_年 Y \_\_\_\_\_月 M \_\_\_\_\_日 D

註冊編號/營業執照號碼 \_\_\_\_\_ 商業登記編號(如有)/稅務登記證號碼 \_\_\_\_\_  
Incorporation No. Business Registration No. (if any) \_\_\_\_\_

業務性質/經營範圍 \_\_\_\_\_ 電子郵件 \_\_\_\_\_  
Business Nature Email Address \_\_\_\_\_

經紀牌照號碼(只供綜合帳戶填寫) \_\_\_\_\_ 牌照發出地點(只供綜合帳戶填寫) \_\_\_\_\_  
Broker license no. (omnibus only) License issue place (omnibus only) \_\_\_\_\_

辦事處 \_\_\_\_\_ 傳真號碼 \_\_\_\_\_  
Office Tel. ( )- \_\_\_\_\_ Fax No. ( )- \_\_\_\_\_

## 第 2 部份 - 董事資料 Section 2 – Director Information

|                            |                   |                      |                         |
|----------------------------|-------------------|----------------------|-------------------------|
| 姓名 _____                   | 國籍 _____          | 出生地點 _____           | 身份證/護照號碼 _____          |
| Name _____                 | Nationality _____ | Place of Birth _____ | ID / Passport No. _____ |
| 住宅地址 _____                 |                   |                      |                         |
| Residential Address: _____ |                   |                      |                         |
| 姓名 _____                   | 國籍 _____          | 出生地點 _____           | 身份證/護照號碼 _____          |
| Name _____                 | Nationality _____ | Place of Birth _____ | ID / Passport No. _____ |
| 住宅地址 _____                 |                   |                      |                         |
| Residential Address: _____ |                   |                      |                         |
| 姓名 _____                   | 國籍 _____          | 出生地點 _____           | 身份證/護照號碼 _____          |
| Name _____                 | Nationality _____ | Place of Birth _____ | ID / Passport No. _____ |
| 住宅地址 _____                 |                   |                      |                         |
| Residential Address: _____ |                   |                      |                         |
| 姓名 _____                   | 國籍 _____          | 出生地點 _____           | 身份證/護照號碼 _____          |
| Name _____                 | Nationality _____ | Place of Birth _____ | ID / Passport No. _____ |
| 住宅地址 _____                 |                   |                      |                         |
| Residential Address: _____ |                   |                      |                         |

### 第3部份 – 股東資料 Section 3 – Shareholder Information

|                              |                   |                        |                               |
|------------------------------|-------------------|------------------------|-------------------------------|
| 姓名<br>Name                   | 國籍<br>Nationality | 出生地點<br>Place of Birth | 身份證/護照號碼<br>ID / Passport No. |
| 住宅地址<br>Residential Address: |                   |                        | 股權%<br>Shareholding           |
| 姓名<br>Name                   | 國籍<br>Nationality | 出生地點<br>Place of Birth | 身份證/護照號碼<br>ID / Passport No. |
| 住宅地址<br>Residential Address: |                   |                        | 股權%<br>Shareholding           |
| 姓名<br>Name                   | 國籍<br>Nationality | 出生地點<br>Place of Birth | 身份證/護照號碼<br>ID / Passport No. |
| 住宅地址<br>Residential Address: |                   |                        | 股權%<br>Shareholding           |
| 姓名<br>Name                   | 國籍<br>Nationality | 出生地點<br>Place of Birth | 身份證/護照號碼<br>ID / Passport No. |
| 住宅地址<br>Residential Address: |                   |                        | 股權%<br>Shareholding           |

### 第4部份 – \*最終擁有權資料 Section 4 – Ultimate Ownership Information

|                              |                   |                        |                               |
|------------------------------|-------------------|------------------------|-------------------------------|
| 姓名<br>Name                   | 國籍<br>Nationality | 出生地點<br>Place of Birth | 身份證/護照號碼<br>ID / Passport No. |
| 住宅地址<br>Residential Address: |                   |                        | 權益%<br>% of interest          |
| 姓名<br>Name                   | 國籍<br>Nationality | 出生地點<br>Place of Birth | 身份證/護照號碼<br>ID / Passport No. |
| 住宅地址<br>Residential Address: |                   |                        | 權益%<br>% of interest          |

\* 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  
Please provide details of ultimate ownership if they are different from the above shareholder(s).

### 第5部份 – 財務狀況及預期戶口活動 Section 5 – Financial Status and Anticipated Activities

|  |   |   |
|--|---|---|
| 已繳股本 (港元)<br>Paid Up Capital (HKD):                          | 淨資產值(港元)<br>Net Asset Value(HKD)                                    | 主要資產<br>Major Assets                            |
| 上一年除稅後純利(港元)<br>Net after tax profit in preceding year (HKD) |   | 年份<br>Year                                      |
| 資產來源 Source of funds   |   |   |
| <input type="checkbox"/> 營業利潤 Business Profits               | <input type="checkbox"/> 租金收入 Rental Income                         | <input type="checkbox"/> 投資收益 Investment Income |
| <input type="checkbox"/> 股息/利息收入 Dividend/Interest Income    | <input type="checkbox"/> 其他(請列明)<br>Others (Please specify)         |   |
| 預計年度收入 (港元) Estimated annual income (HKD)                    |   |   |
| <input type="checkbox"/> 低於 Below 200,000                    | <input type="checkbox"/> 200,001-500,000                            | <input type="checkbox"/> 500,001-1,000,000      |
| <input type="checkbox"/> 1,000,001-2,000,000                 | <input type="checkbox"/> 高於 Above 2,000,000<br>(請列明 Please specify) |   |
| 預計資產淨值 (港元) Estimated asset net worth (HKD)                  |   |   |
| <input type="checkbox"/> 低於 Below 500,000                    | <input type="checkbox"/> 500,001-1,000,000                          | <input type="checkbox"/> 1,000,001-3,000,000    |
| <input type="checkbox"/> 3,000,001-8,000,000                 | <input type="checkbox"/> 8,000,001-40,000,000                       | <input type="checkbox"/> 高於 Above 40,000,000    |
| 投資目標 Investment Objective & Experience                       |   |   |
| <input type="checkbox"/> 對沖 Hedging                          | <input type="checkbox"/> 資本增值 Capital Gain                          | <input type="checkbox"/> 股息收入 Dividend Income   |
| <input type="checkbox"/> 其他(請列明)<br>Others (Please specify)  |   |   |

\* 請提供最近一期財務報表 Please provide latest audited financial report.

### 第6部份 – 客戶個人資料之使用及轉移 Section 6 - Use and Proving Client's Personal Data to Another Person

客戶是否已經閱讀及理解《個人資料收集聲明》，並同意個人資料被使用及/或轉移予集團其他成員公司用於直接促銷目的？  
If the Client has read and understood the <Personal Data Collection Statements> and agreed the personal data to be used by the Company and/or to be provided to other Group members for direct marketing purpose?  
 同意 Yes  不同意 No

### 第7部份 – 美國《海外賬戶稅收合規法案》 Section 7 - Foreign Account Tax Compliance Act (“FATCA”)

公司股東及或董事是否美國聯邦所得稅所定義的特定美國人、美國公民、美國永久居民(含綠卡持有人)或持有美國國籍？Are your shareholder and/or director a United States (“US”) Person, Resident of US (Including Green Card Holder) or having US nationality?  
 否 No  是，請說明 Yes, please specify \_\_\_\_\_

客戶會否交易美國市場產品？Is the Client will trade US Market Products?  
 不會 No  會 Yes, 如會請填寫 W8BEN-E 表格 If Yes, please fill W8BEN-E Form

## 第 8 部份 - 通知和帳戶結單 Section 8 - Trading confirmations and Statements

### A. 語言 Language, 只選擇一項 Tick one only

中文 Chinese 或 or  英文 English

### B. 遞送方法 Delivery Method, 只選擇一項 Please select one only

電郵 By Email\*  郵寄住宅地址 Residential Address by post\*\*  郵寄至業務地址 By Post to Business Address\*\*

\* 客戶確認使用電子交易服務及同意和了解協議書條款之內文及香港證監會持牌人操守準則第 18 條有關電子交易之條文。英明證券將不會對因通訊設施之故障或傳送失靈，或非英明證券控制範圍或預測之任何其他原因所造成傳送或收取資訊之延誤負責。  
The Client undertakes electronic trading as the trading method and understand and agrees to be bounded by the terms and condition and the electronic regulation as stated in Section 18 of the Code of Conduct of the HKSF. Phoenix Capital Securities Limited will not be responsible for any delays, technical errors, incorrect transmission, failure of the communication equipment or incompleteness transmission, breakdown or the transmission malfunction because of the communication facility, either Phoenix Capital Securities Limited control or any other reasons.

\*\* 如選擇郵寄，公司將加收郵遞及行政費用，相關收費詳情請參考收費表。  
Postal service will be subject to administrative and service charges, please refer to the fee schedule for more detail.

## 第 9 部份 - 銀行帳戶記錄 Section 9 - Bank Account Record

股票戶口客戶之提款指示:  自動發放餘款支票  只自動發放交易金額支票  
Securities account client Standing cheque request for balance withdrawal Standing cheque request for trade amount only  
fund withdrawal instruction:  只自動發放股息支票  不出票直至另行通知;  
Standing cheque request for dividend only Not issue cheque until further notice;

保證金/期貨戶口客戶只接受書面通知提款指示。Margin/Futures account client only accept written instruction

客戶現授權英明證券有限公司由即日起接納本公司以上方式作為提款指示，自客戶之證券、保證金/期貨帳戶提取款項並開立以客戶為抬頭人之支票，存入客戶知會英明證券有限公司之銀行帳戶如下。

The Client hereby authorizes Phoenix Capital Securities Limited to accept the above instruction for fund withdrawal from the Securities, Margin/Futures Account to the following designated bank account under client's name with immediate effect.

| 貨幣 Currency  | 銀行名稱 Bank Name | 銀行戶口號碼 Bank Account No. | 地區 District   |
|--|----------------|-------------------------|---|
| <input type="checkbox"/> 港元 HKD<br><input type="checkbox"/> 人民幣 CNY<br><input type="checkbox"/> 美元 USD   |                |                         | <input type="checkbox"/> 香港 HK<br><input type="checkbox"/> 其他<br>Others: _____  |
| Please select one of the following as the FPS identification information and provide proof that the account name bound which matched to the client's accounts name :<br>請選擇其中一項作為轉數快識別資料並提供證明所綁定之戶口名稱與客人之戶口名稱相符:                             |                |                         | <input type="checkbox"/> 流動電話號碼 _____<br><input type="checkbox"/> 電郵地址: _____<br><input type="checkbox"/> 轉數快系統識別碼: _____ |
| 海外銀行請提供地址及 Swift Code<br>Bank address and Swift Code for overseas bank<br>(如選擇海外匯款，公司將加收匯費及行政費用，相關收費詳情請參考收費表<br>Overseas remittance will be subject to administrative and service charges, please refer to the fee schedule for more detail) |                |                         |   |

客戶進一步授權英明證券由即日起接納客戶之電話通知，作為客戶名下證券及期貨帳戶間之轉帳指示。

The Client further authorizes Phoenix Capital Securities Limited to accept client's telephone instruction for Settlement Instruction between Securities/Futures Account with immediate effect.

銀行帳戶名稱必須與客戶名稱相同及只供存款用途 Bank account name must match with name of the Client and for fund deposit only

## 第 10 部份 - 帳戶操作 Section 10 - Account Operation

### 電話/電郵/書面指示/授權簽署安排 Telephone/E-mail/Written Instruction/ Signing Arrangement

- 任何下列 \_\_\_\_\_ 名獲授權人仕可簽署有關該賬戶或因該賬戶而引起之書面指示，包括但不限於付款及交付指示，並在需要時加蓋公司印章。  
Any written instructions (if necessary, together with company chop) given by any \_\_\_\_\_ of the following person(s) sign singly/jointly shall be valid for operating the account and not limited to giving payment instructions.
- 特別簽名安排(如有)，請說明  
Special signature arrangement (if any), Please specify:

| 組別<br>Group | 獲授權人仕姓名<br>Name of authorized person | 身份證/護照號碼<br>ID/Passport no. | 電話<br>Phone | 簽名樣式<br>Specimen signature |
|-------------|--------------------------------------|-----------------------------|-------------|----------------------------|
|             |                                      |                             |             |                            |
|             |                                      |                             |             |                            |
|             |                                      |                             |             |                            |

### 公司印章樣式 Specimen of Company Chop

注意: 就上述授權人仕/簽署人而言，英明證券有限公司有權假定任何上述有關人仕具有全面及不受限制之權力及授權，可代客戶執行上文所列作為，並無任何責任核實有關人士的指示或身份是否真確。客戶同意受上述人士代客戶所發出的指示約束。  
Note: With respect to the above authorized persons / signatories Phoenix Capital Securities Limited shall be entitled to assume that any of them has full and unrestricted powers and authority to perform the acts listed above on behalf of the Client and shall not be under any duty to verify the authenticity of the instructions or identity of such person(s). The client agrees to be bound by instructions given on behalf of the Client by the above person(s).

## 第 11 部份 – 客戶投資屬性問卷 Section 11 Client Investment Suitability Questionnaire

(1) This assessment is designed to help you consider your attitude toward investment risk. It asks questions which provide some indications of the overall general attitude toward risk for a typical investor displaying your personal investment refer to our Assessment Disclaimer Statement.

本評估表依據合理的假設及預估架構設計，協助您們了解本身的風險承受度、理財需求與投資屬性，方便您們設定理財規劃。相關估數據僅供參考並不一定實際反映您們對投資風險的態度。請參閱評估表責任聲明說明。

Please tick the appropriate boxes. 請於適當空格填上「✓」

|   |   |
|---|---|
| <p>1. 您們目前之資產淨值(港幣) What is your currently net worth?</p> <p><input type="checkbox"/> a. 少於 Less than \$500,000 [Score 1 分]</p> <p><input type="checkbox"/> b. \$500,000 至 to \$2,000,000 [Score 3 分]</p> <p><input type="checkbox"/> c. \$2,000,001 至 to \$8,000,000 [Score 5 分]</p> <p><input type="checkbox"/> d. \$8,000,001 至 to \$40,000,000 [Score 7 分]</p> <p><input type="checkbox"/> e. \$40,000,001 或以上 or above [Score 10 分]</p>  | <p>2. 您們目前之投資累積資歷 What is your currently years of investment experience?</p> <p><input type="checkbox"/> a. 完全沒有經驗 None [Score 1 分]</p> <p><input type="checkbox"/> b. 1-3 年 years [Score 3 分]</p> <p><input type="checkbox"/> c. 4-6 年 years [Score 5 分]</p> <p><input type="checkbox"/> d. 7-9 年 years [Score 7 分]</p> <p><input type="checkbox"/> e. 10 年或以上 years or above [Score 10 分]</p>   |
| <p>3. 如您們之投資組合已超過預設之損或停利點時，您們會採取以下何種行動 If your investment holding exceeds the preset stop-loss or limit-selling price, which of the following action would you adopt?</p> <p><input type="checkbox"/> a. 立即賣出所有部位 Sell out immediately [Score 1 分]</p> <p><input type="checkbox"/> b. 先賣出一半或以上之部位 Sell half or more [Score 3 分]</p> <p><input type="checkbox"/> c. 先賣出一半以內之部位 Sell not more than half [Score 5 分]</p> <p><input type="checkbox"/> d. 先暫時觀望 5 天 Hold and observe for 5 days [Score 7 分]</p> <p><input type="checkbox"/> e. 繼續持有直至回本或不漲為止 Hold until fully recovered or stop in price-rising [Score 10 分]</p>   | <p>4. 您們對以下投資報酬及風險組合之偏好 You prefer which of the below investment portfolios with particular risk and return?</p> <p><input type="checkbox"/> a. 沒有概念 No idea [Score 1 分]</p> <p><input type="checkbox"/> b. 絕對低度風險投資組合 + 接近保本之報酬 Absolute low risk investment portfolios + secure of principal protection [Score 3 分]</p> <p><input type="checkbox"/> c. 低度風險投資組合 + 低報酬 Low risk investment portfolios + low return [Score 5 分]</p> <p><input type="checkbox"/> d. 中度風險投資組合 + 中報酬 Medium risk investment portfolios + medium return [Score 7 分]</p> <p><input type="checkbox"/> e. 高度風險投資組合 + 高報酬 High risk investment portfolios + high return [Score 10 分]</p>  |
| <p>5. 您們可承受最大投資組合下跌之幅度 You can bear which of the following investment portfolio extents to be fall?</p> <p><input type="checkbox"/> a. 0% [Score 1 分]</p> <p><input type="checkbox"/> b. -5% [Score 3 分]</p> <p><input type="checkbox"/> c. -10% [Score 5 分]</p> <p><input type="checkbox"/> d. -15% [Score 7 分]</p> <p><input type="checkbox"/> e. -20% 或以上 or above [Score 10 分]</p>  | <p>6. 若您們之投資資產整體下跌超過 15%，對您們的生活影響程度為何 If there is a fall of 15% or over in your overall investment portfolio, what level of your life be suffered?</p> <p><input type="checkbox"/> a. 無法承受 Intolerable [Score 1 分]</p> <p><input type="checkbox"/> b. 影響程度大 Great impact [Score 3 分]</p> <p><input type="checkbox"/> c. 中度影響 Medium impact [Score 5 分]</p> <p><input type="checkbox"/> d. 影響程度小 Little impact [Score 7 分]</p> <p><input type="checkbox"/> e. 不會有影響 No impact [Score 10 分]</p>   |
| <p>7. 您們認為購買投資產品時應持有多久才合適(一般投資越長波動越少而錄得之虧損也較低，但資金會被鎖定一段較長時間) How long will your investment horizon be when you investing in investment products? (In general, the longer the investment horizon, the more you can ride out the ups and downs of the market, i.e. the chance to lose money is generally lower, but the money need s to be locked in long time)?</p> <p><input type="checkbox"/> a. 10 年或以上 years or above [Score 1 分]</p> <p><input type="checkbox"/> b. 6-10 年 years [Score 3 分]</p> <p><input type="checkbox"/> c. 3-6 年 years [Score 5 分]</p> <p><input type="checkbox"/> d. 1-3 年 years [Score 7 分]</p> <p><input type="checkbox"/> e. 1 年或以下 year or below [Score 10 分]</p>   | <p>8. 您們投資主要考慮因素 What is your main concern when you invest?</p> <p><input type="checkbox"/> a. 保持資金之流動性 Maintain high liquidity of assets [Score 1 分]</p> <p><input type="checkbox"/> b. 保本 Secure of principal protection [Score 3 分]</p> <p><input type="checkbox"/> c. 賺取固定收益 Earn fixed income [Score 5 分]</p> <p><input type="checkbox"/> d. 賺取資本利得 Earn capital gain and interest [Score 7 分]</p> <p><input type="checkbox"/> e. 追求最大報酬 Maximize absolute return [Score 10 分]</p>   |
| <p>9. 您們目前持有下任何投資產品(可複選並以最高分計算) Are you currently holding any of the following investment products (you can select more than one and score the highest one)?</p> <p><input type="checkbox"/> a. 現金、存款、存款證、保本產品 cash, Deposits, certificates of deposit, capital protected products [Score 1 分]</p> <p><input type="checkbox"/> b. 債券、債券基金 Bond, bond funds [Score 3 分]</p> <p><input type="checkbox"/> c. 外幣、非保本之貨幣掛鈎結構投資產品 Foreign currencies, non-capital protected currency linked structured products [Score 5 分]</p> <p><input type="checkbox"/> d. 股票、開放式基金(不包含債券基金或貨幣市場基金)、非保本之股票掛鈎結構投資產品、具投資成分的保險計劃、商品 Stock, open-end funds excluding bond funds and money market funds, non-capital protected equity linked structured products, investment-linked insurance plans, commodities [Score 7 分]</p> <p><input type="checkbox"/> e. 期權、期貨、認股權證(俗稱「窩輪」) Options, futures, warrants [Score 10 分]</p> | <p>10. 您們對金融市場和投資的認識有多少 What is your knowledge of financial markets and investments?</p> <p><input type="checkbox"/> a. 無認識：我對金融市場一無所知也沒有興趣深入了解 None: I have no knowledge of financial markets and all and have no interest in understanding them [Score 1 分]</p> <p><input type="checkbox"/> b. 低水平：我對金融市場只有一基金知識，例如股票和債券之分別 Low: I have only some basic knowledge of financial markets such as differences between stocks and bonds [Score 3 分]</p> <p><input type="checkbox"/> c. 中等水平：達基本估以上之水平，明白分散投資的重要性並作出相應安排(即把資金配置於不同類別的投資以分散風險 Medium: I hae above basic knowledge and understand the importance of diversification and practice it (i.e. I have my money in different types of investments to spread the risks) [Score 5 分]</p> <p><input type="checkbox"/> d. 高水平：我懂得閱讀一間公司的財務報表並明白影響股票和債券價格的因素 High: I know how to read a company's financial reports and understand the factors affecting the prices of stocks and bonds [Score 7 分]</p> <p><input type="checkbox"/> e. 精通：我熟識大部份金融產品(包括債券、股票、認股權證、期權及期貨)並明白影響這些金融產品的風險和表現的各項因素 Advanced: I am familiar with most financial products (including bonds, stocks, warrants, options and futures) and understand the various factors that may affect the risk and performance of these financial product. [Score 10 分]</p> |



客戶風險等級評分方式 Grading:

| 總評分 Total Score           | 客戶風險等級 Grade | 投資屬性分析 Description |
|---------------------------|--------------|--------------------|
| 10 ≤ 總評分 Total Score ≤ 35 | 第一級 1        | 穩健型 Secure         |
| 36 ≤ 總評分 Total Score ≤ 65 | 第二級 2        | 平穩型 Moderate       |
| 66 ≤ 總評分 Total Score      | 第三級 3        | 進取型 Aggressive     |

|                                  |
|----------------------------------|
| <b>總評分 Total Score:</b><br><hr/> |
|----------------------------------|

(2) 以下問券為確保本公司所提供給閣下有關衍生產品的服務遵從〈證券及期貨事務監察委員會持牌人或註冊人操守準則〉中的責任。  
 The following questionnaire is designed to ensure the provision of services to you with respect to derivative products are in compliance with our obligations under the Code of Conduct issued by the Securities and Futures Commission.

(a) 本公司股東及或董事或授權人仕曾接受有關衍生產品的培訓或修讀相關課程

Our shareholder and or director or authorized person has undergone training or attended courses on derivative products

- 否 No  
 是 Yes (請提供詳細資料如下 Please provide detail as below)

(i) 培訓或相關課程之名稱及提供培訓或相關課程之機構名稱 Name of course or training and name of course or training provider

(ii) 培訓或相關課程之有關投資產品種類 Type(s) of derivative products relevant to the training or course

(iii) 培訓或相關課程是否為閣下提供衍生工具的性質和風險的一般知識

Whether the training or course provide you with general knowledge of the nature and risks of derivative products

- 否 No  
 是 Yes

(b) 本公司股東及或董事或授權人仕現時的工作經驗與衍生產品有關

Our shareholder and or director or authorized person current working experience related to derivative products

- 否 No  
 是 Yes (請提供詳細資料如下 Please provide detail as below)

(i) 僱主名稱 Name of employer: \_\_\_\_\_

(ii) 職稱 Position: \_\_\_\_\_

(iii) 請簡述閣下的工作如何與衍生產品有關 Please briefly state how your work relates to derivative products

(iv) 衍生產品有關工作經驗之年資 Years of working experience which relates to derivative products

(c) 本公司股東及或董事或授權人仕過去的工作經驗與衍生產品有關

Our shareholder and or director or authorized person previous work experience relates to derivative products

- 否 No  
 是 Yes (請提供詳細資料如下 Please provide detail as below)

(i) 前僱主名稱 Name of previous employer: \_\_\_\_\_

(ii) 職稱 Position: \_\_\_\_\_

(iii) 請簡述閣下過去的工作如何與衍生產品有關 Please briefly state how your previous work relates to derivative products

(iv) 過去與衍生產品有關工作經驗之年資 Years of previous working experience which relates to derivative products

(d) 本公司股東及或董事或授權人仕有買賣衍生產品的經驗

Our shareholder and or director or authorized person has prior trading experience in derivative products

- 否 No  
 是 Yes (請提供詳細資料如下 Please provide detail as below)

(i) 以往曾買賣的衍生產品種類 Type of derivative products traded:

(ii) 過去三年曾買賣衍生產品的交易數目 Number of transaction within the past three years

**注意: 請提供文件認證閣下對衍生產品的認識/經驗。如客戶沒有衍生工具的相關認識/經驗則不能買賣衍生產品。**

**Attention: Please provide document(s) to show your knowledge / experience with the derivative products. Client cannot transact derivative products if client have no derivative related knowledge / experience.**

\*\*\*\*\*

客戶確認 Client confirmation:

1. 本公司已獲悉被評估為 I have been informed of being assessed as

- 穩健型 Secure                       平穩型 Moderate                       進取型 Aggressive

2. 本公司已獲悉以上投資屬性, 唯仍然願意以下較高風險之投資工具, 及此乃本公司的決定

Although I have been my above investment suitability product, I still want to invest in following higher risky investment products

- 中風險 Medium-risk\*                       中至高風險 Medium-high-risk                       高風險 High-risk \*\*

\* 一般情況下, 證券保證金及股票期權賬戶屬中度/高度承受風險程度。

Under normal case, Securities Margin Account & Stock Options Account belongs to Medium/High risk tolerance category.

\*\* 一般情況下, 期貨帳戶屬高度承受風險程度。 Under normal case, Futures Account belongs to High risk tolerance category.

第 12 部份 – 共同申報準則實體自我證明稅務居留司法管轄資料

Section 12 – Common Reporting Standard (CRS) Entity Tax Residency Self-Certification Information

**A. 實體類別 Entity Type**

在其中一個適當的方格內加上✓號，並提供有關資料。Tick one of the appropriate boxes and provide the relevant information.

|                               |  |
|-------------------------------|--|
| 財務機構<br>Financial Institution | <input type="checkbox"/> 託管機構、存款機構或指明保險公司<br>Custodial Institution, Depository Institution or Specified Insurance Company<br><input type="checkbox"/> 投資實體，但不包括由另一財務機構管理（例如：擁有酌情權管理投資實體的資產）並位於非參與稅務管轄區的投資實體 Investment Entity, except an investment entity that is managed by another financial institution (e.g. with discretion to manage the entity's assets) and located in a non-participating jurisdiction   |
| 主動非財務實體<br>Active NFE         | <input type="checkbox"/> 該非財務實體的股票經常在 NFE the stock of which is regularly traded on _____, (一個具規模證券市場) 進行買賣 which is an established securities market<br><input type="checkbox"/> Related entity of _____, 的有關連實體，該有關連實體的股票經常在 the stock of which is regularly traded on _____, (一個具規模證券市場) 進行買賣 which is an established securities market<br><input type="checkbox"/> 政府實體、國際組織、中央銀行或由前述的實體全權擁有的其他實體 NFE is a governmental entity, an international organization, a central bank, or an entity wholly owned by one or more of the foregoing entities<br><input type="checkbox"/> 除上述以外的主動非財務實體（請說明 Active NFE other than the above (Please specify _____) |
| 被動非財務實體<br>Passive NFE        | <input type="checkbox"/> 位於非參與稅務管轄區並由另一財務機構管理的投資實體<br>Investment entity that is managed by another financial institution and located in a non-participating jurisdiction<br><input type="checkbox"/> 不屬主動非財務實體的非財務實體 NFE that is not an active NFE   |

**B. 控權人(如實體帳戶持有人是被動非財務實體，填寫此部)**

**Controlling Persons (Complete this part if the entity account holder is a passive NFE)**

就帳戶持有人，填寫所有控權人的姓名在列表內。就法人實體，如行使控制權的並非自然人，控權人會是該法人實體的高級管理人員。Indicate the name of all controlling person(s) of the account holder in the table below. If no natural person exercises control over an entity which is a legal person, the controlling person will be the individual holding the position of senior managing official.

注意：每名控權人須分別填寫一份 IR1457 表格（自我證明表格 – 控權人）。

Attention: Complete Form IR1457 (Self-Certification Form – Controlling Person) for each controlling person.

|     |     |
|-----|-----|
| (1) | (5) |
| (2) | (6) |
| (3) | (7) |
| (4) | (8) |

**C. 居留司法管轄區及稅務編號或具有等同功能的識別編號（以下簡稱「稅務編號」）**

**Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent (“TIN”) \***

請提供以下資料，列明 (a) 帳戶持有人的居留司法管轄區，亦即帳戶持有人的稅務管轄區（包括香港在內）及 (b) 該居留司法管轄區發給帳戶持有人的稅務編號。請列出所有（不限於 5 個）居留司法管轄區。

Complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the account holder is a **resident for tax purposes** and (b) the account holder's TIN for each jurisdiction indicated. Indicate **all** (not restricted to five) jurisdictions of residence.

如帳戶持有人是香港稅務居民，稅務編號是其香港商業登記號碼。

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Business Registration Number.

如果帳戶持有人並非任何稅務管轄區的稅務居民（例如：它是財政透明實體），填寫實際管理機構所在的稅務管轄區。

If the account holder is not a tax resident in any jurisdiction (e.g. fiscally transparent), indicate the jurisdiction in which its place of effective management is situated.

如沒有提供稅務編號，必須填寫合適的理由：

If a TIN is unavailable, provide the appropriate reason A, B or C:

**理由 A** – 帳戶持有人的居留司法管轄區並沒有向其居民發出稅務編號。

**Reason A** – The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.

**理由 B** – 帳戶持有人不能取得稅務編號。如選取這一理由，解釋帳戶持有人不能取得稅務編號的原因。

**Reason B** – The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN if you have selected this reason.

**理由 C** – 帳戶持有人毋須提供稅務編號。居留司法管轄區的主管機關不需要帳戶持有人披露稅務編號。

**Reason C** – TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.

| 居留司法管轄區<br>Jurisdiction of Residence        | 稅務編號 TIN  | 如沒有提供稅務編號，填寫理由 A、B 或 C<br>Enter Reason A, B or C if no TIN is available  | 如選取理由 B，解釋帳戶持有人不能取得稅務編號的原因<br>Explain why the account holder is unable to obtain a TIN if you have selected Reason B |
|---|---|--|--|
| <input type="checkbox"/> 香港<br>Hong Kong    | <input type="checkbox"/> 第 1 部份的號碼<br>Section 1 No. _____<br><input type="checkbox"/> 其他 Others _____ | <input type="checkbox"/> 不適用 N/A<br><input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C |  |
| <input type="checkbox"/> 中國<br>China        | <input type="checkbox"/> 第 1 部份的號碼<br>Section 1 No. _____<br><input type="checkbox"/> 其他 Others _____ | <input type="checkbox"/> 不適用 N/A<br><input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C |  |
| <input type="checkbox"/> 其他<br>Others _____ |   | <input type="checkbox"/> 不適用 N/A<br><input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C |  |

## 第 13 部份 – 防止洗黑錢/恐怖分子籌資 Section 13 - Anti-Money Laundering and Counter-Terrorist Financing

公司股東及或董事是否擔任或曾擔任重要公職之政界人士 (包括國家元首、政府首長、資深從政者、高級政府官員、司法或軍事官員、國有企業高級行政人員及重要政黨幹事)，或以上人士之家人 (包括配偶、伴侶、子女或父母，或該名個人的子女的配偶或伴侶) 及其他關係密切的人？Are your shareholder and/or director linked to politically exposed persons? (Politically exposed person – individual who is or has been entrusted with prominent public function e.g. head of state/government, senior politician, senior executive of government-owned corporation, important political party official, etc.), or the closed members of the aforesaid person (including spouse, companion, children or parents, or spouse or companion of the children) and other closely connected person?

否 No  是，請說明 Yes, please specify \_\_\_\_\_

客戶的業務性質是否特別容易蒙受較高的洗錢/恐怖分子資金籌集風險或接觸大量現金往來 (如貨幣兌換、博彩業、珠寶業、娛樂服務業)？

Is the nature of the Client (including any of the joint account holders and partners of a partnership firm)'s business particularly susceptible to money laundering/terrorist financing risk? (For example, money changer or casino business that handles large amount of cash)

否 No  是，請說明 Yes, please specify \_\_\_\_\_

## 第 14 部份 – 部份 - 其他披露 Section 14 - Other Disclosures

- (1) 公司股東及或董事及其配偶及各自的關連人士(父母,兄弟,姐妹)是英明證券有限公司的客戶？若是者，請提供帳戶名稱及號碼。  
Are your shareholder and/or director, his/her spouse and his/her related person(s) (Parents, brothers, sisters ) a Client of Phoenix Capital Securities Limited? If so, please provide the account name(s) and number(s).
- 否 No  是 Yes
- | 帳戶名稱<br>AC Name: | 帳戶號碼<br>AC No.: | 關係<br>Relationship: |
|------------------|-----------------|---------------------|
| _____            | _____           | _____               |
- (2) 公司股東及或董事是否英明證券有限公司僱員或董事之親屬？Are your shareholder and/or director a relative of an employee or a director of Phoenix Capital Securities Limited?
- 否 No  是 Yes
- 名稱 Name: \_\_\_\_\_ 關係 Relationship: \_\_\_\_\_
- (3) 公司股東及或董事是否香港證券及期貨事務監察委員會註冊或持牌人仕，或該人仕之僱員或董事，或香港金融管理局的有關人仕？若是，請提供註冊或持牌法團名稱及同意客戶開戶之證明文件。Are your shareholder and/or director licensed by or registered with the Hong Kong Securities and Futures Commission or an employee or director of such person, or a relevant individual of the Hong Kong Monetary Authority? If so, please provide the name of the registered or licensed corporation and the supporting documents indicating consent to the Client's account opening.  否 No  是 Yes
- 中央編號 CE No.: \_\_\_\_\_ 持牌/註冊人仕名稱 Name of licensed/registered person: \_\_\_\_\_
- (4) 公司股東及或董事是否與任何地方的交易所上市公司的高級人員/董事/大股東有任何的關連？Does your shareholder and/or director have relationship with senior officers/directors/substantial shareholders of any company whose shares are traded on any exchange?  否 No  是 Yes
- 上市編號 Stock Code: \_\_\_\_\_ 公司名稱 Company Name: \_\_\_\_\_
- (5) 公司股東及或董事是否個人或與配偶共同控制英明證券的公司證券保證金客戶 35% 或以上的投票權？  
Are your shareholder and/or director either alone or with spouse, in control of 35% or more of the voting rights of any corporate securities margin Client of Phoenix Capital Securities Limited?  否 No  是 Yes
- 帳戶名稱 AC Name: \_\_\_\_\_ 帳戶號碼 AC No.: \_\_\_\_\_
- (6) 介紹人姓名 Introducer's Name: \_\_\_\_\_, 介紹人為英明證券之員工？Introducer is the employee of Phoenix Capital Securities Ltd?  否 No  是 Yes
- 關係 Relationship: \_\_\_\_\_

## 第 15 部份 – 客戶確認及同意 Section 15 - Client's Acknowledgement and Agreement

- 本開戶表的資料均屬真實及正確。除非英明證券有限公司(“英明證券”)收到任何客戶資料改變的書面通知，英明證券完全可以依靠這些資料及陳述作任何目的。客戶授權英明可在任何時間聯絡任何人，包括客戶的銀行、經紀等或任何信貸機構，藉以確定及查證本開戶表內的資料。客戶可隨時要求英明證券提供個人資料收集聲明副本；The information contained in this Account Opening Form is true and accurate. Phoenix Capital Securities Limited (“PCSL”) is entitled to rely fully on such information and representations for all purposes, unless PCSL receives notice in writing of any change. PCSL is authorized at any time to contact anyone, including the Client's banks, brokers or any credit agency, for the purpose of verifying the information provided on this Account Opening Form. A copy of PCSL's Personal Information Collection Statement is available upon request;
- 本公司已閱讀過及明白提供的英明證券客戶協議書內容也了解其為開戶文件的一部份。所有由客戶與或透過英明證券進行之交易均受客戶協議書的條款及條件限制，並同意受可不時被修改或補充的條款及細則及有關的附表所約束。客戶確認英明證券已按照客戶選擇的語言(中文或英文) 獲提供之風險披露聲明書，及已獲邀閱讀該風險披露聲明書、提出問題及徵求獨立的意見(如客戶有此意願)；We have read and understood the provisions of the attached current version of the Client Agreement of PCSL, of which this document forms a part. All transactions to be concluded by the Client with or through PCSL shall be subject to the terms and conditions of PCSL hereby applies to open the above type(s) of account and agree to be bound by the Client Agreement including its Standard Terms and Conditions and relevant Schedule(s) as the same may be amended or supplemented from time to time. The Client acknowledges and confirms PCSL has provided the Risk Disclosure Statements annexed hereto in a language of client's choice (English or Chinese) and the Client has been invited to read the Risk Disclosure Statements, to ask questions and take independent advice if the Client wishes;
- 除已有說明外，本開戶表所指名的申請人是帳戶及交易的最終實益持有人和最終發出交易指示的人；Otherwise specify, the Account Holder named in this Account Opening Form is the ultimate beneficial owner and give instructions of the Account and transaction;
- 期貨帳戶適用：本公司確認，英明證券可在不抵觸《條例》及任何適用法律規定的情況下，不論是否為英明證券本身或英明證券相聯公司或其他客戶的帳戶，就任何在交易所買賣的期貨及期權合約，採取與客戶的交易指示相反的交易指示，但該買賣必須是以公平競爭方式，根據期交所的規則在期交所或透過期交所的設施而進行的；或是透過任何其他商品、期貨或期權交易所的設施並根據該等其他交易所的規則及現例而執行的；【Futures Account applicable】 We acknowledge that, subject to the provisions of the Ordinance, PCSL may take the opposite position to the Client's order in relation to any Futures Contract or Options Contract, whether on PCSL's own account or for the account of its associated company or for the account of other clients of PCSL, provided that such trade is executed competitively on or through the facilities of HKFE in accordance with the HKFE rules or the facilities of any other commodity, futures or options exchange in accordance with the rules of such other exchange;
- 保證金帳戶適用：本公司承認並確定客戶已根據保證金客戶協議授權英明證券有限公司處置協議內所定義的款項、證券及證券抵押品，並且本公司就該條款的內容已獲得解釋，及本公司明白該條款的內容；【Margin Account applicable】 We acknowledge and confirm that the Client has authorized PCSL to deal with Monies and securities or securities collateral in accordance of the Client Agreement for Margin Accounts and the contents of that Clause have been explained to the Client and the Client understands the content of that Clause;
- 互聯網交易適用：本公司確認，本公司只可經由互聯網進入戶口，本公司確認，若本公司在經由互聯網接觸貴公司時有任何困難，本公司需嘗試使用其他方法與貴公司溝通，并把所遇困難知會貴公司。開戶口時，本公司需在開戶表格上寫明本公司就使用該服務而存入首筆按金的款額。該款額可由本公司親自支票、銀行本票存入或以電匯存入貴公司的辦事處或銀行戶口；【Internet Trading applicable】 We acknowledge that we may only access the Account through the Internet and we agree that should we experience any problems in reaching you through the Internet, we shall attempt to use alternative methods to communicate with you and inform you of the difficulty we am/are experiencing. When opening the Account, we shall state in the Account Opening Form the amount of my/our initial deposit of funds in the Account for the use with the Internet Trade Service. Such amount shall be paid to your offices or bank account either by cheque, bankers draft or telegraphic transfer;



7. 本公司明白本公司提交此開戶表予英明證券接納此開戶表並非表示已經同意為客戶開立相關帳戶，英明證券保留無條件謝絕客戶開戶申請之權利，如果本公司的申請被拒絕，本公司明白、同意並接受客戶之任何開戶申請文件將不予退回；We understand and agree application may be rejected for reasons which are unrelated to me/we and my/our application and neither PCSL nor PCSL agent shall, in the absence of fraud, negligence or willful default, be liable to me/we or any other person in consequence of such rejection and all application documents would not be returned;
8. 本公司同意英明證券於銷售過程中參考本公司于英明證券有限公司的戶口資料，以便為本公司提供相關投資產品/服務；The Client provides consent for the Company to make reference to my account information maintained with PCSL during the sales process in order to provide the Client with information in relevant investment product/service;
9. 有關於本開戶表第 11 部第 2 點 - 客戶對衍生產品的認識，客戶完全明白英明證券將基於該部提供之資料以評估客戶是否具有衍生及/或結構性產品的基本認識，與及客戶於日後可能需要再次更新及提供該部，以作重新評估。客戶完全明白倘若該部提供之資料不真實、完全及正確，英明證券將無法評估本公司所要求的服務及/或產品之適合性。本公司謹此確認及聲明所有於該部提供之資料均屬真實、完全及正確，並承諾於該部提供之資料有變時立即通知英明證券；In connection to Section 11 item 2 - Client's Knowledge of Derivative Products, the Client fully understands that PCSL will base on the information provided in Section 5 for assessing whether the Client has general knowledge of the derivative and/or structured products and the Client may be required to complete this section again in future for re-assessment. The Client fully understands that PCSL will be unable to assess client's suitability of the requested services and/or products if the Client fails to provide accurate, true and complete information in this section. The Client hereby confirms and declares that all the information provided in this section is true, complete and accurate and undertake to inform PCSL any changes of the information provided in this questionnaire at once;
10. 本公司同意遵守聯交所、香港證券結算有限公司、或其他監管組織對於在前述股票交易所及結算系統或任何其他股票交易所或結算系統上市的證券的買賣作出並不時修訂的監管規則及規例；We would abide by the Rules and Regulations of the Exchange, Hong Kong Securities Clearing Company Limited, or any regulatory bodies from time to time governing the purchase and sale of securities quoted on the aforementioned stock exchanges and clearing system or any other stock exchanges or clearing systems;
11. 除非英明證券另以書面表示，否則本開戶表格、客戶協議及其他開戶文件將一起構成所有客戶與本公司預期之事宜的全部協議及諒解。本開戶表格所用之詞語與客戶協議所定義具相同釋義；Unless otherwise indicated in writing by PCSL, the Account Opening Form, the Client Agreement and other account opening documents shall together constitute the entire agreement and understanding between the Client and PCSL in respect of the matters contemplated under the documents. Terms defined in the Client Agreement have the same meanings when used in this account application (save where otherwise expressly provided in this account application);
12. 本公司明白須隨時應英明證券的要求提供進一步資料或就此開戶表格上所提供的資料呈遞書面證明；We understand that we might be required to provide additional information or submit documentary proof as to the information provided in this Account Opening Form as and when requested by PCSL;
13. 本公司亦明白風險披露文件可能未申述所有上市衍生產品的風險，本公司在買賣上市衍生產品前將自行作出評估及確定有足夠的淨資產來承擔風險和潛在的損失；We further acknowledge that the Risk Disclosure document may not cover all risks of listed derivative products and the we shall make his own assessment and ensure that he has sufficient net worth to assume the risks and bear the potential losses before trading in listed derivative products;
14. 本公司承認於成交單據或綜合日結單內顯示的價格，由英明證券可能在其認為合適的情況下，就本公司於同一天內購買或售賣(視乎情況而定)的所有同一種類證券，以每個成交單位的價格來顯示於成交單據或綜合日結單內。客戶收到成交單據或綜合日結單後，應加以核對，如本公司欲以以上另一價格方式顯示於成交單據或綜合日結單，請盡快通知英明證券。如英明證券未於成交單據或綜合日結單中規定的特定期限內接獲本公司的書面異議，則本公司應被視為已接受該成交單據或綜合日結單所載的編排；We acknowledge that the price quoted in the contract note or daily statement to be provided by PCSL may be, at its sole discretion, the price per unit for each transaction of securities in the case that there is more than one purchase or sale transaction (as the case may be) of the securities in the account during the same day. We shall upon receipt of the contract note or daily statement examine the same and promptly notify PCSL in writing if we want such prices to be quoted. Otherwise, if PCSL does not receive any written objection from me/we within the period stipulated in the contract note or daily statement, We shall be deemed to have accepted the presentation of such contract note or daily statement;
15. 如本公司未能親身開戶，並以遞交支票形式進行開戶，本公司同意及確認英明證券將根據證監會持牌人專業操守第 5.1 b)項之要求處理本公司帳戶。即本公司須遞交在香港的持牌銀行開立的帳戶並由本公司所簽發(該簽名須與此開戶申請表上的本公司簽名相符)並載有本公司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“英明證券有限公司”及其數額不得少於 10,000 港元 (或英明證券通知客戶的其他數額)。本公司被批核的新帳戶必須待支票兌現後才可使用；If we are unable to open account in person, the account opening can be executed through submitting appropriate cheque. We hereby agrees and confirms PCSL will only proceed with the account opening pursuant to Section 5.1 b) of the Code of Conduct for Persons Licensed by the Securities and Futures Commission. A crossed cheque for such purpose shall bear name shown in my/our identity document and drawn on my/our account with a licensed bank in Hong Kong with same signature(s) as shown on this Form in favour of “PCSL” for not less than HKD10,000 (or such other amount as may be advised by PCSL). The approved new account will not be activated until the cheque is cleared;
16. 本公司知悉及同意，財務機構可根據《稅務條例》(第 112 章)有關交換財務帳戶資料的法律條文，(a) 收集本表格所載資料並可備存作自動交換財務帳戶資料用途及 (b) 把該等資料和關於帳戶持有人及任何須申報帳戶的資料向香港特別行政區政府稅務局申報，從而把資料轉交到帳戶持有人的居留司法管轄區的稅務當局；及 We acknowledge and agree that (a) the information contained in this form is collected and may be kept by the financial institution for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the account holder and any reportable account(s) may be reported by the financial institution to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the account holder may be resident for tax purposes, pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112); and
17. 本公司承諾，如情況有所改變，以致影響本表格第 12 部份所述的帳戶持有人的稅務居民身分，或引致本表格所載的資料不正確，本公司會通知英明證券有限公司，並會在情況發生改變後 30 日內，向英明證券有限公司提交一份已適當更新的自我證明表格。We undertake to advise PCSL of any change in circumstances which affects the tax residency status of the account holder identified in Section 12 of this form or causes the information contained herein to become incorrect, and to provide PCSL with a suitably updated self-certification form within 30 days of such change in circumstances.
18. 為遵從海外帳戶稅收合規法案(FATCA)的有關要求，客戶同意並授權英明證券根據客戶協議書，享有唯一及絕對的酌情權，從客戶的帳戶中，預留或扣除任何款項(可高達總交易額的 30%及/由美國國稅局不時要求的其他金額)，以及收取任何由該預扣款項所衍生的費用。客戶確認在任何情況下，英明證券不會為任何因稅收合規法案要求下預扣或扣除款項所引致的損失及損害負責責任 In Compliance with the requirement under Foreign Account Tax Compliance Act ( FATCA) or any other Foreign law Requirement, the Client agrees and authorizes that PCSL, according to the Client agreement, is entitled to withhold and deduct any payment or funds ( maybe subject to 30% of the gross proceeds and/or any other amount as required by IRS from time to time.) under the Client's account as required at PCSL' sole and absolute discretion in order to comply with and meet its obligations under FATCA or any other Foreign Law Requirement. In any event, the Client confirms that PCSL shall not be liable for any loss or damages in relation to the withholding or deduction in this matter.

|                                      |  |
|--------------------------------------|--|
| 客戶印鑑及獲授權人簽署 Company Chop & Signature | 獲授權人全名 (正楷) Name of Authorized person: |
|                                      | 日期 Date:                               |

**第 16 部份 – 核證 Section 16 – Certification**

**\*由本公司代表或專業人士填寫 To be completed by Representative of the Company or Professional**

**本人現證實：**在此表格第 15 部份所寫的日期當日，此表格乃由此表格所指定的獲授權人(其身份已根據其向本公司出示之身份證或護照正本作核實)於本公司面前簽訂。I hereby certify that on the date written in the Section 15, this Form was executed by Authorized person named in this Form (who had been previously identified by production of the original of his / her Identity Card or Passport to me) in my presence.

|                         |  |
|-------------------------|--|
| 見證人簽署 Witness Signature | 見證人姓名 (正楷) Name of witness:                            |
|                         | 見證人所屬專業*/職銜/中央編號<br>Witness professional*/Title/CE No: |
|                         | 見證人之僱主名稱 Employer Name of witness:                     |
|                         | 日期 Date:   |

\*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  
Professional: Notary Public / Branch Manager of a Licensed Bank / Practising Lawyer / Certified Public Accountant (Practising) / Justice of the Peace

**第 17 部份 – 風險披露聲明及確認 Section 17 – Risk Disclosure Statements & Acknowledgement**

**英明證券有限公司的持牌代表人之聲明 Declaration by a licensed representative of Phoenix Capital Securities Limited**

下列簽署之持牌人員聲明已按照客戶所選擇的語言(英文或中文)，向客戶提供風險披露聲明，並已邀請客戶閱讀該風險披露聲明，提出問題及徵詢獨立意見(如客戶有此意願)。The undersigned licensed person of the Company declare that the Client has been provided the Risk Disclosure Statements in a language of the Client's choice (English or Chinese) and has invited the Client to read the Risk Disclosure Statements, ask questions and take independent advice if the Client wishes.

持牌代表人簽署 Licensed representative's signature  
姓名 Name:

日期 Date:  
中央編號 CE No:

**第 18 部份 – 批核與簽署 Section 18 – Approval & Signature**

代表英明證券有限公司  
For and on behalf of Phoenix Capital Securities Limited

授權簽名 Authorized Signature

職員姓名 (正楷) Staff Name

日期 Date:

Dear Sirs  
敬啟者：

**Authority under the Securities and Futures (Client Securities) Rules and the Securities and Futures (Client Money) Rules to dispose of my/our securities and money**

**按證券及期貨（客戶證券）規則及證券及期貨（客戶款項）規則關於處理本公司證券及款項的授權**

This letter of authority covers (1) all securities deposited from time to time by me/us or on my/our behalf with PCSL or any other person as security or collateral for the provision of financial accommodation by PCSL ("my/our securities collateral") and (2) all money or moneys deposited from time to time by me/us or on my/our behalf with PCSL or its associated companies ("my/our money").

本授權書涵蓋（1）由本公司或以本公司名義不時存入英明證券或其他人仕，為英明證券提供保證金融資作為抵押品的所有證券（以下稱“本公司抵押證券”）及（2）由本公司或以本公司名義不時存入英明證券或其有聯繫公司的所有款項（以下稱“本公司款項”）。

We in full understanding of the contents of this letter and the Client Agreement for Securities Margin Trading hereby give or renew the authority to PCSL to :-

本公司完全理解本授權書及保證金帳戶客戶協議書的內容並在此授權或更新授權予英明證券：

1. deposit any of my/our securities collateral with an authorised institution (as defined by the Banking Ordinance) as collateral for financial accommodation provided to PCSL;  
存放任何本公司抵押證券於一個授權機構（按銀行條例）作為向英明證券提供保證金融資的抵押；
2. apply any of my/our securities collateral pursuant to a securities borrowing and lending agreement in accordance with the Securities and Futures (Client Securities) Rules.  
根據符合證券及期貨（客戶證券）規則下之證券借貸協議應用任何本公司抵押證券；
3. deposit my/our securities collateral with (1) a recognised clearing house or (2) another intermediary licensed or registered for dealing in securities as collateral for the discharge and satisfaction of PCSL's settlement obligations and liabilities;  
存放本公司抵押證券予（1）認可結算所或（2）另一持牌或註冊可作證券交易之中介人作為抵押品予解除及償還英明證券之交收責任及債項；
4. transfer, request the transfer or otherwise dispose of my/our money in accordance with clauses 2.3 of the Client Agreement for Securities Margin Trading entered into between PCSL and me/us.  
於符合英明證券及本公司簽訂的保證金帳戶客戶協議書第 2.3 段下轉移，要求轉移或否則處理本公司款項。

PCSL may do any of these things without giving me/us notice.

英明證券可在不通知本公司的情況下採取任何上述行動。

This authority does not cover any consideration which we must pay or be paid for the lending or depositing by PCSL of any of my/our securities collateral. Any such consideration must be set in a separate agreement between me/us and PCSL.

本授權書不包括任何關於本公司因英明證券借出或抵押出本公司抵押證券而引起的代價，本公司必須支付或被支付的問題。這些代價問題須由另一協議處理。

PCSL is accountable to me/us for the return of any securities lent or deposited under this authority.

英明證券有責任向本公司歸還任何在本授權書下借出或抵押的證券。

We understand that a third party may have rights to my/our securities collateral, which PCSL must satisfy before my/our securities collateral can be returned to me/us.

本公司知道第三方可能對本公司抵押證券擁有某些權利，而英明證券必須先給予解決才能將有關的抵押證券歸還本公司。

This authority is valid for a period of 12 months from the date hereof and may be revoked by me by giving PCSL a written notice of not less than one month.

本授權書從簽署日算起有效期為 12 個月及可被本公司以不少於一個月之書面通知解除此授權書。

This letter has been fully explained to me/us and we understand the contents of this letter.

本授權書已完全向本公司解釋，本公司理解其全部內容。

Yours faithfully  
此致

\_\_\_\_\_  
Signatory(ies) of Account Holder  
/and Company Chop  
戶口持有人簽署／及公司蓋章

Dated:  
日期：

Dear Sirs  
敬啟者：

**Authority under the Securities and Futures (Client Money) Rules to dispose of my/our money**

**按證券及期貨（客戶款項）規則關於處理本人／吾等證券及款項的授權**

We authorize you to Combine or consolidate any or all segregated accounts of any name whatsoever and either individually or jointly with others, maintained by Phoenix Capital Securities Limited and/or any of its Associates from time to time and you may transfer any sum of Monies to and between such segregated account(s) to satisfy my/our obligations or liabilities to any member of the PCSL, whether such obligations and liabilities are actual or contingent, primary or collateral, secured or unsecured, or joint or several; and transfer any sum of Monies interchangeably between any of the segregated accounts maintained at any time by members of the PCSL. You may do any of these things without giving me/us notice.

本公司授權爾等組合或合併英明證券有限公司及/或其任何聯繫人士所維持的任何或全部獨立賬戶，爾等可將該等獨立賬戶內任何數額之款項作出轉移，以符合本公司對英明證券任何成員確實、或然、原有、附帶、有抵押、無抵押、共同或分別的義務或法律責任；及從英明集團的成員於任何時候維持的任何獨立賬戶之間來回調動任何數額之款項。爾等可不向我/我們發出通知而採取上述行動。

This authority is given to Phoenix Capital Securities Limited in consideration of its agreeing to continue to maintain Futures Account(s) for us. This authority is given without prejudice to other authorities or rights which PCSL, may have in relation to dealing in Monies in the segregated accounts. This authority is valid for a period of 12 months from the date of signing this Form. This authority may be revoked by giving you written notice to PCSL, Such notice shall take effect upon the expiry of 14 days from the date of your actual receipt of such notice. We understand that this authority shall be deemed to be renewed on a continuing basis without our written consent if you issue me/us a written reminder at least 14 days prior to the expiry date of this authority, and we do not object to such deemed renewal before such expiry date. We have read, understand and accept the contents of this authority.

本授權乃鑑於英明證券有限公司同意維持本公司的期貨戶口。本授權並不損英明證券可享有有關處理該等獨立賬戶內款項的其他授權或權利。本授權由本開戶表格簽發日期起 12 個月內有效。本公司可以向英明證券在資料表所列明之地址發出書面通知，以撤回本授權。有關的生效日期為爾等真正收到該等通知後 14 日起計算。本公司明白爾等若在本授權的有效期限 14 日前發出書面通知，以提醒本授權即將屆滿，而本公司沒有在本授權屆滿前反對此授權續期，本授權書應當作已被續期。本公司已閱讀、明白及同意本授權的內容。

Yours faithfully  
此致

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Signatory(ies) of Account Holder  
/and Company Chop  
戶口持有人簽署／及公司蓋章

Dated:  
日期：





**公司戶口開戶核對表 (內部使用) Corporate account opening checklist (internal use)**

|                           |  |  |                                |
|---------------------------|--|--|--------------------------------|
| 帳戶號碼<br>Account Number    |  | <b>帳戶類別 Account Type</b><br><input type="checkbox"/> 證券現金帳戶 Securities Cash Account<br><input type="checkbox"/> 證券保證金帳戶 Securities Margin Account<br><input type="checkbox"/> 期貨帳戶 Futures Account | <b>Sub code</b><br>1<br>2<br>3 |
| 前線人員姓名<br>AE / Sales Name |  | 前線人員編號<br>AE Code  |                                |

|  |   |
|--|---|
| 特定美國人 Specified U.S. Person                          | <input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No    |
| 客戶可交易衍生產品<br>Client can transact derivative products | <input type="checkbox"/> 可以 Yes <input type="checkbox"/> 不可以 No |

| 費用 - 如漏空會採用本司基本收費 Fee Schedule - if left empty, default charges will be applied |                         |                   |           |
|---|-------------------------|-------------------|-----------|
| 佣金 Commission (港幣 HKD)  |                         | 額度 Limit (港幣 HKD) |           |
| 證券 Securities   | 網上 Internet             | %, 最低收費 min \$    |           |
|   | 電話 Terminal             | %, 最低收費 min \$    |           |
| 股票期權 HKSO   | 網上 Internet             | 下單額度 Order Limit  |           |
| 大權 HSI Option   | 期權金                     | % 最低 min \$       | 最高 max \$ |
| 細權 MHI Option   | 期權金                     | % 最低 min \$       | 最高 max \$ |
| 大期 HSI / HHI  | 每張合約 Per contract       | 即日 Day            | 過夜 Night  |
| 細期 MHI / MCH  | 每張合約 Per contract       | 即日 Day            | 過夜 Night  |
| 外期 Overseas Future  | 每張合約 Per contract (USD) | 利率 Interest       |           |
| 外期 Overseas Future (LME)  | 每張合約 Per contract (USD) |                   |           |
|   |                         | P + _____ %       |           |

| 身份證明文件 Identity Document   | Check                    |
|--|--------------------------|
| 1. 公司註冊成立證書 Certificate of Incorporation   | <input type="checkbox"/> |
| 2. 職權證明書(須於6個月內簽發)(只適用於離岸公司)<br>Certificate of Incumbency (issued with 6 months)(applicable to offshore companies only)  | <input type="checkbox"/> |
| 3. 業務地址證明(如與註冊地址不同)Business address proof(if difference from registered address)   | <input type="checkbox"/> |
| 4. 股東/董事/授權人任之身份證 / 護照 副本<br>ID Card / Passport Copy of each shareholder/director/authorized person(s)   | <input type="checkbox"/> |
| 5. 股東/董事/授權人任三個月內之住宅地址證明(水費單, 電費單, 煤氣單或銀行月結單)<br>Within 3 months Residential Address Proof (Water bills, electricity bill, gas bill/bank statement etc.) of each shareholder/director/authorized person(s) | <input type="checkbox"/> |
| 6. 股東/董事/授權人任三個月內之通訊地址證明<br>Within 3 months correspondence Address Proof of each shareholder/director/authorized person(s)   | <input type="checkbox"/> |
| 開戶文件 Account Opening Document  | Check                    |
| 1. 開戶申請書 Account Opening Form  | <input type="checkbox"/> |
| 2. FATCA 文件, 如 W8BEN-E/W9  | <input type="checkbox"/> |
| 3. 商業登記證(如適用)Business Registration Certificate (if applicable)   | <input type="checkbox"/> |
| 4. 組織章程大綱及細則 Memorandum and Articles of Association  | <input type="checkbox"/> |
| 5. 董事及股東名單 Shareholders and Directors Registers  | <input type="checkbox"/> |
| 6. 相關開戶之董事會決議 Board resolution authorizing the opening of the account  | <input type="checkbox"/> |
| 7. 擁有權結構以核實最終實益擁有人身份(適用於有多層擁有權的公司)<br>Ownership structure identifying the individuals ultimately own the corporate client (for companies with multiple layers in ownership structure)                      | <input type="checkbox"/> |
| 8. 最新財政年度之核數師報表 Latest audited financial statement   | <input type="checkbox"/> |
| 9. 持牌人任開戶同意書 Licensed Person Consent Letter  | <input type="checkbox"/> |
| 服務 Services  | Check                    |
| 1. 網上交易服務 Internet Trading   | <input type="checkbox"/> |
| 2. 電子結單發送 E-Statement Delivery   | <input type="checkbox"/> |

|                |  |
|----------------|--|
| <b>Remarks</b> |  |
|----------------|--|

|            |             |            |             |              |            |
|------------|-------------|------------|-------------|--------------|------------|
|            | Prepared By | Checked By | Approved By | Processed by | Checked by |
| Signature: |             |            |             |              |            |
| Name:      |             |            |             |              |            |
| Date:      |             |            |             |              |            |