

東英亞洲證券有限公司 香港中環交易廣場 2 期 40 樓 4004 室

ORIENTAL PATRON SECURITIES LIMITED Suite 4004, 40/F, Two Exchange Square, 8 Connaught Place,
Central, Hong Kong

聯交所參與者及在《證券及期貨條例》下持有第 1 及 4 類受規管活動的牌照的法團其 CE 編號為 ABV570
Exchange Participant and Corporation licensed for Type 1 and 4 regulated activities under the Securities and Futures Ordinance with CE No. ABV570

Account No.
戶口號碼

ACCOUNT 戶口

Account Type 戶口類別：	<input type="checkbox"/> Cash Account 現金戶口	<input type="checkbox"/> Margin Account 保證金戶口
Medium of Instruction 指令方式：	<input type="checkbox"/> AE Assisted 客戶主任協助	<input type="checkbox"/> eTrade 電子交易
	<input type="checkbox"/> Bloomberg-Fix 彭博交易平臺	Bloomberg ID <input type="text"/> UUID <input type="text"/>

CORPORATE INFORMATION 機構資料

In English 英文	In Chinese 中文	
Company Name 公司名稱		
Nature of Entity 組織類別 <input type="checkbox"/> Sole Proprietor 獨資 <input type="checkbox"/> Partnership 合夥 <input type="checkbox"/> Corporation 公司 <input type="checkbox"/> Trust 信託	Place of Incorporation 公司註冊地	
Certificate No. of Incorporation 公司註冊號碼	Business Registration No. in Hong Kong 香港商業登記證號碼	
Nature of Business 業務性質	Date of Incorporation 註冊日期 (dd/mm/yyyy 日/月/年)	
Registered Address 註冊地址		
Tel. No. 電話	Fax No. 傳真	E-mail Address 電郵地址 (Mandatory for eTrade applicant 電子交易申請人必須填寫)
Principal Business Address 主要營運地址		

CORPORATE STRUCTURE 公司結構

(If necessary, please continue on a separate paper. 如有需要，請另紙說明。)

Particulars of Director(s) 董事詳情

Name 姓名/名稱	ID Card/ Passport No. /CI/ BR No. 身分證/護照號碼/公司註冊證/商業登記號碼	Tel. No. 電話
_____	_____	_____
_____	_____	_____
_____	_____	_____

Particulars of Registered Shareholder(s) 登記股東詳情

Name 姓名/名稱	Respective Shareholding 股權比例 (%)	ID Card/ Passport/CI/ BR No. 身分證/護照/公司註冊證/商業登記號碼	Address (P.O. Box not acceptable) 地址 (郵政信箱恕不接納)
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

Particulars of Ultimate Beneficial Owner(s) 最終權益擁有人詳情 (If differ from registered shareholder(s) 如異於登記股東)

Name 姓名/名稱	Respective Shareholding 股權比例 (%)	ID Card/ Passport/CI/ BR No. 身分證/護照/公司註冊證/商業登記號碼	Address (P.O. Box not acceptable) 地址 (郵政信箱恕不接納)
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

LICENSED/REGISTERED PERSON DECLARATION 持牌/註冊人士申報

Is any applicant's director, shareholder or authorized person related to any employee or licensed representative of Oriental Patron Securities Limited ("OPSL") or its associated company?

貴公司是否有任何董事、股東、獲授權人士與東英亞洲證券有限公司(以下簡稱「東英證券」)或其聯繫公司的任何僱員或持牌代表有關連?

Employee/Licensed Representative Name

No 否 Yes 是 僱員或持牌代表姓名: _____ Relationship 關係: _____

Is applicant a member or participant registered with any stock or commodities exchange or regulated or supervised by any government or regulatory agency?

貴公司是否為任何股票或期貨交易所的註冊會員或參與者, 或受任何政府或監管機構所規管或監管?

No 否 Yes 是 License No. 牌照號碼: _____

Is any of applicant's director, shareholder or authorized person a licensed/registered representative of SFC?

貴公司是否有任何董事、股東、獲授權人士是證監會持牌/註冊代表?

No 否 Yes 是 Name 姓名: _____ License No. 牌照號碼: _____

Does the applicant maintain any other related account(s) with OPSL?

貴公司在東英證券有否其他關連戶口?

No 否 Yes 是: In own name 以貴公司名義 Account No. 戶口號碼: _____

In member company name 以成員公司名義 Account No. 戶口號碼: _____

Name of member company 成員公司名稱: _____

In controlled corporation name 以受控制公司名義 Account No. 戶口號碼: _____

Name of controlled corporation 受控制公司名稱: _____

AUTHORIZED INSTRUCTIONS 授權指示**Trading Instruction 交易指示**

The applicant has authorized as resolved in a corporate resolution (as attached) any of the following person(s) (the "Trading Officer(s)") with full discretion to give written and/or oral instructions in relation to buying, selling or other dealing in securities for the Account.

申請者根據公司決議(見附件)授權以下人士(「交易人員」)全權就所開立之交易戶口的交易, 以書面及/或口頭方式發出買、賣或其他相關指示。

Name 姓名	Relation/Position 關係/職位	ID/Passport No. 身分證/護照號碼	Contact No. 聯絡電話	Signature 簽署
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____

Signing Arrangement 簽署安排

The applicant has authorized as resolved in a corporate resolution (as attached) that the Account may be operated on the instructions of any _____ of the following person(s) (the "Signing Officer(s)"), pursuant to signature arrangements below:

申請者根據公司決議(見附件)授權戶口將按以下所列的簽名安排, 由下列的任何 _____ 人士(「文件簽署人員」)發出運作指示:

Name 姓名	Relation/Position 關係/職位	ID/Passport No. 身分證/護照號碼	Contact No. 聯絡電話	Signature 簽署
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____

APPLICANT'S BANKER/CUSTODIAN REFERENCE 申請者銀行/信託資料

(This information is for settlement purpose. Unless otherwise instructed by the applicant, all monies payable to the applicant or securities purchased will be credited to the following account. 此資料為交收之用。除非申請者另行給予指示, 所有支付予申請者的款項或所購買的證券將存入下列戶口。)

Banker 銀行 Custodian 信託 Name 姓名: _____ Account Name 帳戶姓名: _____

Account No. 帳戶號碼: _____ Safe Keeping with OPSL 東英證券保管

FINANCIAL STATUS & INVESTMENT OBJECTIVE 財務狀況及投資目的

OPSL is required to obtain this information to fulfill the "know-your-client requirements" of the SFC. 東英證券根據香港證監會所制定之「認識你的客戶要求」而索取有關資料。

Financial Background 財務狀況

Paid-up Capital 已繳股本：_____

Latest Net Asset Value (HK\$) 最近資產淨值 (港元)

< 1,000,000 1,000,001 - 5,000,000 5,000,001 - 20,000,000 20,000,001 - 50,000,000 > 50,000,000

Latest Profit after Tax (HK\$) 最近稅後盈利(港元)

< 1,000,000 1,000,001 - 5,000,000 5,000,001 - 10,000,000 > 10,000,000

Investment Objectives 投資目的

Dividend Income 股息收入 Capital Gain 資本增值 Hedging 對沖 Speculation 投機

Risk Tolerance 風險承受能力

Low 低 Medium 中等 High 高

INVESTMENT EXPERIENCE & PRODUCT KNOWLEDGE**投資經驗及產品認識****Years of experience****投資經驗(年資)****Related working experience****相關工作經驗****Undergone training / attended course****曾接受培訓或修讀課程****5 or more transactions within the past 3 years****三年內交易五次或以上**

Shares 股票	_____	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有
Bonds 債券	_____	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有
Unit Trusts/Mutual Funds 單位信託/互惠基金	_____	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有
Derivative Warrants 衍生權證	_____	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有
Callable Bull/Bear Contracts 牛熊證	_____	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有
Futures 期貨	_____	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有
Options 期權	_____	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有

CORRESPONDENCE 通訊

Do you accept to receive Trading confirmations and Statements via email? *eTrade Account Clients can receive via email only

貴公司是否接受通過電郵收取交易確認通知和戶口結單? *電子交易客戶只可透過電郵接收

Yes 是 No 否 · please send to the following address (Please tick one only) 請寄往以下地址 (請只選擇一項) :

Registered Address 註冊地址 Principal Business Address 主要營運地址

Which address do you prefer the printing matters to be sent to?

貴公司希望印刷品遞送至哪個地址?

Registered Address

註冊地址

Office Address

公司地址

Which language do you choose for the Client Agreement, Trading Confirmations and Statements?

貴公司選擇哪種語言的客戶協議書、交易確認通知和戶口結單?

English

英文

Chinese

中文

Do you require accessing current Trading confirmations and Statements via website at www.oponline.com.hk?

貴公司是否要求透過網頁 www.oponline.com.hk 查詢近期交易確認通知和戶口結單?

Yes

是

No

否

Which way do you prefer to deliver the password? (Applicable to eTrade Account Clients only)

貴公司希望以何種方式收取密碼? (只適用於電子交易客戶)

Pick up in Person

親自提取

By Mail

郵寄收取

Do you need Real Time Quote service?

貴公司是否需要即時報價服務?

Yes

是

No

否

Do you prefer to receive promotional material from OPSL or its associated or related companies and/or their service providers concerning their products and services?

貴公司是否希望收到東英證券或其相關公司及/或其服務供應商有關其產品及服務的宣傳資料?

Yes

是

No

否

APPLICANT ACKNOWLEDGEMENT 申請者確認

- i. We, the undersigned Client, wish to open one or more Account(s) with OPSL.
- ii. We, acknowledge receipt of the attached prevailing version of the client agreement (the "Agreement") of OPPL of which this Account Opening Form, and all other relevant documents (including the fee schedule) enclosed herewith form part.
- iii. We confirm that information provided on this Account Opening Form is true, complete and accurate. I/We will inform OPPL in writing of any changes to that information.
- iv. We confirm that we have carefully read and understood the terms and provisions of the Agreement, which have been provided to us in a language of our choice (English or Chinese).
- v. We expressly agree and consent, as evidenced by our signature(s) below, to each and all terms and provisions contained in the Agreement.
- vi. We also acknowledge that we have been invited to read the risk disclosure statements set out in the Agreement, ask questions and take independent advice if we so wish.

- i. 吾等為下屬簽署客戶，欲在東英證券開設戶口。
- ii. 吾等確認收悉本開戶申請書所附上東英證券之客戶協議書（「協議書」），以及其它相關文件（包括收費表）。
- iii. 吾等確認於本開戶申請書中所提供資料是真實、完整並準確的。倘若該等資料有任何變更，本人/吾等將以書面通知東英證券。
- iv. 吾等確認獲提供以吾等所選擇的語言（中文或英文）之協議書，且已認真閱讀並明白協議書的條款和細節。
- v. 吾等以下之簽署表明吾等完全同意並接受協議書的全部條款和細節。
- vii. 吾等在此聲明，吾等已獲東英證券邀請閱讀協議書內的風險披露聲明，提出問題及徵求獨立的意見（如吾等有此意願）。

APPLICANT SIGNATURE 申請者簽署

Authorized Signature(s)/ Company Chop
獲授權人士簽署/公司蓋章

Date 日期：

DECLARATION BY STAFF 職員聲明

I confirm that I have provided the Risk Disclosure Statement contained herein in language (English or Chinese) of the Client's choice and that I have invited the Client to read the Risk Disclosure Statement, ask questions and take independent advice, if the Client wishes. 本人確認已經以客戶選擇的語言（英文或中文）提供風險披露聲明，並且本人已經邀請客戶閱讀該風險披露聲明，提出問題及尋求獨立的意見（如客戶有此意願）。

Name and Signature of Staff

Date

CE No.

職員姓名及簽署：

日期：

CE 編號：

EXTERNAL WITNESS DECLARATION 外來見證聲明

(Applicable if this document is not executed in presence of an OPPL employee 適用於若本文件非由東英證券僱員見證簽署)

I, being a SFC Licensed/Registered Representative Notary Public Certified Public Accountant Solicitor, hereby certify I have witnessed the signing of this Account Opening Form (together with the attached documents, if applicable) by the above Client and sighted the original of the related identity documents of the above Client.

本人作為 證監會持牌人/註冊人 公證人 執業會計師 律師，謹此確認見證客戶簽署本開戶申請書（包括隨附的文件，如適用）以及驗證客戶的身份證明原件。



Name and Signature of Witness

見證人姓名及簽署

Date 日期：

Contact Detail 聯絡方法

- A crossed cheque bearing the Client's name shown in Client's identity document and drawn on the Client's account with a licensed bank in Hong Kong with the Client's same signature(s) as shown on this Account Opening Form in favour of "Oriental Patron Securities Limited" for not less than HK\$10,000 (or such other amount as may be advised by OPPL).

隨附不少於港幣10,000元（或東英證券建議之金額）香港持牌銀行之劃線支票，支票抬頭為「東英亞洲證券有限公司」，支票持有人姓名須與客戶身份證明文件姓名相同，而支票之簽署須同客戶於本開戶申請書上簽署相同。

FOR OFFICE USE ONLY 職員專用

Commission Rate	AE Proposed Trading Limit	Trading Limit
Loan Limit (Margin A/C only)	Approved by	Date
Assigned AE	Documents Checked by	Input & Date

CTC DOCUMENT RECEIVED

ID Copy of Directors/Authorization Person

Latest Audited Financial Statement

Board Resolution

Latest Annual Return

M & A

Bank Proof

Proof of Business Add.

CI/BR Copy

Authorization Letter

Guarantee

Register of Directors

Register of Members

Cheque