

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. ABV570Account No.
戶口號碼

The Securities and Futures Ordinance (Cap. 571) and its associated rules and regulations provide certain relaxations from the requirements thereof when licensed persons are dealing with clients who are categorized as “Professional Investors.” Oriental Patron Securities Limited (“OPSL”) proposes to treat this account holder as such a Professional Investor for the purposes of such relaxations and for the purposes of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission.

當持牌人與被分類為專業投資者之客戶交易時，證券及期貨條例(第571章)及其附屬規則及法規允許其某些要求可不需完全遵守。為達至不需完全遵守某些該等要求及某些證券及期貨事務監察委員會編制之持牌人或註冊人操守準則內之要求為目的，東英亞洲證券有限公司(“東英證券”)建議將本戶口持有人視為專業投資者。

ACCOUNT 戶口

Account Type 戶口類別： Cash Account 現金戶口 Margin Account 保證金戶口

Medium of Instruction 指令方式： AE Assisted 客戶主任協助 eTrade 電子交易

Bloomberg-Fix 彭博交易平臺 Bloomberg ID UUID

APPLICANT INFORMATION 申請者資料

In English 英文

In Chinese 中文

Company Name 公司名稱**Nature of Entity 組織類別** Sole Proprietor 獨資 Partnership 合夥 Corporation 公司 Trust 信託

Place of Incorporation 公司註冊地

Certificate of Incorporation No. 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)

Principle Business Address 主要營業地址

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)

Mailing Address 郵寄地址 (if different from Principle Business Address 如與主要營業地址不同)

APPLICANT DECLARATION 申請人申報

Does the applicant open the Account for proprietary trading or trading as agent for clients (e.g. as investment manager / adviser or broker / dealer).
申請者申請開戶是否為自營買賣或為代客買賣(如：作為投資經理/顧問或經紀人/交易商)?

 As principal 自營買賣 As agent 代客買賣

AUTHORIZED INSTRUCTIONS 授權指示

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

申請者根據公司決議(見附件)授權以下人士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。(如有需要，請另紙說明。)

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	Specimen Signature 簽署樣本
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____

APPLICANT ACKNOWLEDGEMENT 申請者確認

I/We confirm that all information provided in relation to the Account including information in the related Account Opening Form is complete and accurate. I/We will inform OPSL in writing of any changes to that information. It is my/our responsibility to ensure Account accuracy and to notify OPSL immediately with regard to any discrepancies.

本人/吾等確認所有有關戶口的資料，包括開戶申請書所載資料均完整及正確。倘若該等資料有任何變更，客戶將會以書面通知東英證券。確保戶口資料的正確性，並就任何差異及時知會東英證券乃客戶之責任。

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：

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	<input type="checkbox"/> ID Copy of Directors/Authorization Person	<input type="checkbox"/> Latest Audited Financial Statement
<input type="checkbox"/> Board Resolution	<input type="checkbox"/> Latest Annual Return	<input type="checkbox"/> M & A
<input type="checkbox"/> CI/BR Copy	<input type="checkbox"/> Authorization Letter	<input type="checkbox"/> Guarantee
<input type="checkbox"/> Cheque	<input type="checkbox"/> Bank Proof	<input type="checkbox"/> Proof of Business Add.
	<input type="checkbox"/> Register of Directors	<input type="checkbox"/> Register of Members