



團結證券有限公司

UNITED SECURITIES LIMITED

為香港聯合交易所有限公司之參與者及
已獲證券及期貨事務監察委員會發出持牌法團的牌照

**As an Exchange Participant of the Stock Exchange of Hong Kong Limited
and a Licensed Corporation licensed by the Securities and Futures Commission**

交易所參與者編號 Exchange Participant Number (EP No.): B02113
中央編號 Central Entity Number (CE No.): AFP229

開戶表格 (現金 / 保證金帳戶 - 個人 / 聯名)

ACCOUNT OPENING FORM (CASH / MARGIN ACCOUNT - INDIVIDUAL / JOINT)

帳戶號碼 Account Number : _____

帳戶名稱 Account Name : _____

香港灣仔港灣道6至8號瑞安中心九樓 903-905 室
Suites 903-905, 9/F, Shui On Centre, 6-8 Harbour Road, Wan Chai, Hong Kong

Account Opening Form – Individual / Joint Account
開戶表格 – 個人 / 聯名帳戶

Account Type: Cash Account Margin Account
 帳戶類別: 現金買賣帳戶 保證金買賣帳戶

For official use only 只供本行使用
 Account No. 帳戶號碼:
 Date Opened 開戶日期:

Note: A Cash Account not involving securities borrowing and lending is available from United Securities Limited.

If you do not require margin facilities or do not wish your securities or securities collateral to be lent or pledged, please (1) DO NOT open a Margin Account and sign the standing authority under Securities and Futures (Client Securities) Rules; and (2) DO open a Cash Account.

請注意：團結證券有限公司提供不涉及證券借貸的現金買賣帳戶。假如你毋需使用保證金貸款，或不希望本身證券或證券抵押品被借出或遭抵押，請
 (1) 切勿開立保證金買賣帳戶及切勿簽署根據《證券及期貨(客戶證券)規則》所訂立的常設授權；(2) 應要求開立現金買賣帳戶。

Electronic Trading 電子交易: Yes 是 No 否

Please attach 請附上:

- Copy of ID Card or passport of Primary (and Joint) Client. 個人(及聯名)帳戶持有人的身份證或護照副本。
- Copy of a bank statement or a utility bill within the last 3 months for proof of residential address. 最近 3 個月的銀行結單或公共服務單據副本作為提供住址證明。
- Copy of a bank account statement or a valid proof of asset within the last 3 months (for the retired, student or the unemployed). 最近 3 個月的銀行結單或有效的資產證明副本 (適用於退休、學生或無業人士)。

Please complete in BLOCK LETTERS 請用正楷填寫:

Personal Information of the Individual / Joint Account Holder 個人/聯名帳戶之個人資料	
<input type="checkbox"/> Individual Account 個人帳戶	<input type="checkbox"/> Joint Account 聯名帳戶 Name of Primary Joint Account Holder 主要帳戶持有人姓名: _____ Name of Secondary Joint Account Holder 第二帳戶持有人姓名: _____ Joint Account Holders Relationship 聯名帳戶持有人關係:
Primary Joint Account Holder 主要帳戶持有人	Secondary Joint Account Holder (For Joint Account only) 第二帳戶持有人 (只適用於聯名帳戶)

Personal Information 個人資料

(a) Name: Mr. / Ms.* (* Please delete if not applicable)

姓名：先生 / 女士 * (* 請刪去不適用者)

English

英文：_____

Chinese

中文：_____

(b) Identity Card / Passport Number

身份證 / 護照號碼：_____

(c) Nationality

國籍 _____

(d) Date of birth

出生日期：_____

(e) Residential Address

住宅地址：_____

(f) Ownership of Residence 住宅業權：

Owned 自置 Rented 租用 With Parents 與父母同住

Quarters 宿舍 Others 其他 _____

(g) Home Phone Number

住宅電話號碼：_____

(h) Office Phone Number

公司電話號碼：_____

(i) Mobile Phone Number

手提電話號碼：_____

(j) E-mail Address

電郵地址：_____

(k) CCASS Investor Participants ID and Name, if any

中央結算投資者參與者編號及姓名(如有)：

(a) Name: Mr. / Ms.* (* Please delete if not applicable)

姓名：先生 / 女士 * (* 請刪去不適用者)

English

英文：_____

Chinese

中文：_____

(b) Identity Card / Passport Number

身份證 / 護照號碼：_____

(c) Nationality

國籍 _____

(d) Date of birth

出生日期：_____

(e) Residential Address

住宅地址：_____

(f) Ownership of Residence 住宅業權：

Owned 自置 Rented 租用 With Parents 與父母同住

Quarters 宿舍 Others 其他 _____

(g) Home Phone Number

住宅電話號碼：_____

(h) Office Phone Number

公司電話號碼：_____

(i) Mobile Phone Number

手提電話號碼：_____

(j) E-mail Address

電郵地址：_____

(k) CCASS Investor Participants ID and Name, if any

中央結算投資者參與者編號及姓名(如有)：

Employment Status 工作狀況

(a) Employment Status 工作狀況

Employed 受僱* Self-Employed 自僱* Retired 退休
 Student 學生 Unemployed 無業 Others _____

*The following information is required for the employed or the self-employed
受僱或自僱均需填寫以下資料:-

(b) Name of Current Employer / Company

目前僱主/公司名稱: _____

(c) Nature of Business

業務性質: _____

(d) Year(s) of employment with Current Employer / Company

在目前僱主/公司的任職年期: _____

(e) Position

職位: _____

(f) Office Address

公司地址: _____

(a) Employment Status 工作狀況

Employed 受僱* Self-Employed 自僱* Retired 退休
 Student 學生 Unemployed 無業 Others _____

*The following information is required for the employed or the self-employed
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(b) Name of Current Employer / Company

目前僱主/公司名稱: _____

(c) Nature of Business

業務性質: _____

(d) Year(s) of employment with Current Employer / Company

在目前僱主/公司的任職年期: _____

(e) Position

職位: _____

(f) Office Address

公司地址: _____

Designated Bank Account Details (for Fund Withdrawal) 指定銀行帳戶資料(適用提款)

If the Client instructs United Securities Limited to arrange withdrawal of fund from the securities account, the money will be transferred to the below designated bank account in the name of the Client (unless instructed by the Client in writing to amend the designated bank account). 若客戶指示團結證券有限公司從證券帳戶提款，資金將會被安排轉入以下以客戶名義開設的指定銀行帳戶(除非客戶另以書面指示更改指定銀行帳戶):

(a) Bank Name 銀行名稱 _____

(b) Bank Account Holder's Name 銀行帳戶持有人名稱 _____

(c) Bank Account Holder's Number 銀行帳戶持有人號碼 _____

(d) Bank Account Type 銀行帳戶類別 Saving 儲蓄 Integrated Account 綜合理財帳戶 Others 其他 _____

只適用於非在香港開設的銀行帳戶 Only applied for Bank Account not opened in Hong Kong

If the Client is unable to provide the below information on this Account Opening Form, the Client is still required to provide such information in the withdrawal instruction in the future. 若客戶現時無法在開戶表格上提供以下資料，客戶日後仍需在提款指示上提供有關資料。

(e) Bank Account SWIFT Code 銀行國際電匯代碼 _____

(f) Bank Address 銀行地址 _____

Note: 1. **We strongly advise the Client to provide a bank account opened in Hong Kong. Otherwise, the deposit and/or withdrawal instruction may not be executed successfully.** If the Client provides a bank account opened outside of Hong Kong, the Client must understand and agree to bear such risks.
2. Bank account holder's name should be the same as the securities account holder's name. 3. United Securities Limited will process the deposit and/or withdrawal instruction within reasonable time upon receipt of the instruction from the Client. The Client agrees that United Securities Limited shall not be held liable for any loss suffered by the Client as a result of any delay in depositing such payments for any reason whatsoever. 備註: 1. **我們強烈建議客戶提供在香港開設的銀行帳戶，否則，客戶的存款及/或提款指示有可能無法成功地被執行。**如客戶提供一個非在香港開設的銀行帳戶，客戶必須完全明白並同意承擔有關風險。 2. 銀行帳戶名稱須與證券帳戶之名稱相同。 3. 團結證券有限公司在收到客戶的存款及/或提款指示後，於合理時間內盡快處理，客戶同意團結證券有限公司不會因延遲處理該款項令客戶蒙受損失而承擔任何法律責任。

Statement Delivery Method 結單發送方式

Combined Contract Note and Daily Statement(s) / Monthly Statement(s) will be delivered to 綜合成交日結單及月結單將會發送至：*

E-mail address 電郵地址 Home Address 住宅地址 Business Address 商業地址

(* Please select one only 只可選擇一個)

Note: Please be noted that United Securities Limited, in its sole discretion, reserves the rights to change the method of delivery that deemed appropriate at any time. 備註: 團結證券有限公司保留最終決定權, 隨時可以更改其認為合適的發送方式。

Financial Profile 財務狀況

(a) Annual Income (in HKD) 每年收入 (以港幣計):

Below 少於\$100,001 \$100,001-\$200,000
 \$200,001-\$500,000 \$500,001-\$1,000,000
 Above 多於\$1,000,000

(b) Source of Income 收入來源

(Can choose more than one item 可選擇多於一項)

Salary /Commission 薪金/佣金 Rent 租金
 Investment Income 投資收入 Business Profit 營業利潤
 Others (please specify) 其他 (請說明): _____

(c) Approximate Total Net Worth (in HKD) 概算總資產淨值 (以港幣計):

Below 少於\$500,001 \$500,001-\$1,000,000
 \$1,000,001-\$2,000,000 \$2,000,001-\$5,000,000
 Above 多於\$5,000,000

(d) Country(ies) of Origin(s) 資金來源地

(Can choose more than one item 可選擇多於一項)

Hong Kong 香港 Mainland China 中國內地
 Macau 澳門 United States 美國
 Others (Please specify) 其他 (請說明): _____

(e) Asset Class 資產類別

(Can choose more than one item 可選擇多於一項)

Property 房產 Cash / Deposit 現金/存款
 Valuable Stock 有價證券
 Others (Please specify) 其他 (請說明): _____

(a) Annual Income (in HKD) 每年收入 (以港幣計):

Below 少於\$100,001 \$100,001-\$200,000
 \$200,001-\$500,000 \$500,001-\$1,000,000
 Above 多於\$1,000,000

(b) Source of Income 收入來源

(Can choose more than one item 可選擇多於一項)

Salary /Commission 薪金/佣金 Rent 租金
 Investment Income 投資收入 Business Profit 營業利潤
 Others (please specify) 其他 (請說明): _____

(c) Approximate Total Net Worth (in HKD) 概算總資產淨值 (以港幣計):

Below 少於\$500,001 \$500,001-\$1,000,000
 \$1,000,001-\$2,000,000 \$2,000,001-\$5,000,000
 Above 多於\$5,000,000

(d) Country(ies) of Origin(s) 資金來源地

(Can choose more than one item 可選擇多於一項)

Hong Kong 香港 Mainland China 中國內地
 Macau 澳門 United States 美國
 Others (Please specify) 其他 (請說明): _____

(e) Asset Class 資產類別

(Can choose more than one item 可選擇多於一項)

Property 房產 Cash / Deposit 現金/存款
 Valuable Stock 有價證券
 Others (Please specify) 其他 (請說明): _____

Investment & Risk Profile 投資及風險概況

(a) Investment Products and Investment Experience 曾買賣產品及投資經驗 (Can choose more than one item 可選擇多於一項)

- | | | | | |
|--|--|---|---|---------------------------------------|
| <input type="checkbox"/> Shares 股票 | <input type="checkbox"/> 0 or(或) < 1 year(年) | <input type="checkbox"/> 1 – 3 years(年) | <input type="checkbox"/> 4 – 5 years(年) | <input type="checkbox"/> > 5 years(年) |
| <input type="checkbox"/> Bonds 債券 | <input type="checkbox"/> 0 or(或) < 1 year(年) | <input type="checkbox"/> 1 – 3 years(年) | <input type="checkbox"/> 4 – 5 years(年) | <input type="checkbox"/> > 5 years(年) |
| <input type="checkbox"/> Unit Trusts 單位信託基金 | <input type="checkbox"/> 0 or(或) < 1 year(年) | <input type="checkbox"/> 1 – 3 years(年) | <input type="checkbox"/> 4 – 5 years(年) | <input type="checkbox"/> > 5 years(年) |
| <input type="checkbox"/> ETFs 交易所買賣基金 | <input type="checkbox"/> 0 or(或) < 1 year(年) | <input type="checkbox"/> 1 – 3 years(年) | <input type="checkbox"/> 4 – 5 years(年) | <input type="checkbox"/> > 5 years(年) |
| <input type="checkbox"/> Derivative Products 衍生產品* | <input type="checkbox"/> 0 or(或) < 1 year(年) | <input type="checkbox"/> 1 – 3 years(年) | <input type="checkbox"/> 4 – 5 years(年) | <input type="checkbox"/> > 5 years(年) |
| <input type="checkbox"/> Others 其他：_____ | <input type="checkbox"/> 0 or(或) < 1 year(年) | <input type="checkbox"/> 1 – 3 years(年) | <input type="checkbox"/> 4 – 5 years(年) | <input type="checkbox"/> > 5 years(年) |

* Derivative Products include but not limited to Derivative Warrants, Callable Bull /Bear Contracts, Stock Options, Index Options, Futures, Commodities and Structured Products. 衍生產品包括但不限於衍生權證、牛熊證、股票期權、指數期權、期貨、商品及結構性產品等。

(b) Estimated investment amount (in HKD) 預計投資金額 (以港幣計)

- Below 少於 \$100,000 \$100,000-\$500,000 \$500,001-\$1,000,000 \$1,000,001-\$5,000,000 Above 多於 \$5,000,000

(c) Major Investment objective(s) 主要投資目標 (Can choose more than one item 可選擇多於一項)

- Capital Preservation 保本 Income (e.g. Dividend) 收益 (例如股息) Capital Gain 資本增值
 Hedging 對沖 Speculation 投機 Others (Please specify) 其他 (請說明): _____

(d) Investment horizon 投資年期 (Can choose more than one item 可選擇多於一項)

- Short Term 短線 Medium Term 中線 Long Term 長線

(e) Risk Tolerance 可承受風險水平

- Low 低風險 Medium 中風險 High 高風險

Client's Knowledge of Derivative Products 客戶對衍生產品的認識

- You possess in-depth and substantial knowledge in the nature and risks of derivative products. 閣下對衍生產品之性質和風險有深入及豐富的認識。
- You have undergone training or attended courses on derivative products. 閣下曾接受有關衍生產品的培訓或修讀相關課程。
- You have current or previous work experience related to derivative products. 閣下現時或過去擁有與衍生產品有關的工作經驗。
- You have executed five or more transactions within the past three years in derivative products. 閣下於過去三年曾執行五次或以上有關衍生產品的交易。
- None of the above. 以上均不是。

Note: If the Client does not possess sufficient knowledge and experience in derivative products, but still intends to trade such products, the Client must read, understand and accept the risks of trading derivative products including, but not limited to, those stated in the Risk Disclosure Statements annexed in the Customer Agreement. 備註: 如客戶對衍生投資產品沒有足夠的知識及經驗, 但仍打算買賣衍生產品, 客戶必須確保已閱讀、明白及接受客戶協議書的風險披露聲明(但不限於聲明內所提及的)有關買賣衍生投資產品的風險。

Client's Tax Identity 客戶之稅務身分

(a) Are (Is) you /the ultimate beneficial owner(s) of the Account and/or the person(s) ultimately responsible for originating instructions of the Account, a United States Person ("U.S. Person") defined under the Foreign Account Tax Compliance Act ("FATCA") of the United States? 根據美國《海外帳戶稅務合規法案》定義, 閣下/帳戶最終受益人及/或最初負責發出帳戶買賣指示之人士是否美國人?

- Yes, TIN is 是, 美國聯邦納稅人識別號碼為: _____
- No, my jurisdiction of residence for tax purposes 不是, 本人之稅務居民的居留司法管轄區為:
- China 中國 Hong Kong 香港 Others (please specify) 其他 (請說明): _____

(b) For individual Client who has the below particular(s), please tick the appropriate box(es)

對於具以下明細的個人客戶, 請別取合適的方格。

- U.S. place of birth 出生地為美國
- U.S. mailing or residence address (including a U.S. post office box) 郵寄或住宅地址為美國 (包括美國郵政信箱)
- U.S. telephone number 美國電話號碼
- A designated bank account for fund withdrawal maintained in the United States 持有一個在美國開設的銀行帳戶
- None of the above 以上全部不是

Note: 1. United Securities Limited's existing policy is not to open securities trading for U.S. person. 2. Please complete the relevant form under FATCA (e.g. W8BEN Form for Non-U.S. Person) and the Self-Certification Form for Tax Residency under Hong Kong Tax Ordinance and Common Reporting Standard (CRS) of OECD. 備註: 1. 團結證券有限公司現時之政策是不會替美國人士開設證券帳戶。 2. 請填寫有關美國《海外帳戶稅務合規法案》之相關格 (例如適用於非美國人士的W8BEN), 並填寫一份根據《香港稅務條例》及《經濟合作與發展組織之共同匯報標準》的自我證明表格。

Client's Identity Declarations and Disclosure 客戶身份聲明及披露

(a) Are you the ultimate beneficial owner(s) of the Account and ultimately responsible for originating the instructions of the Account?

閣下是否帳戶的最終受益人及最初負責發出帳戶買賣指示之人士？

Yes 是

No, please provide details of the ultimate beneficial owner(s) and the person ultimately responsible for originating the instructions of the Account, as below 否，請在以下列出最終受益人及最初負責發出帳戶買賣指示之人士的資料：

Name 姓名: _____ ID Card/Passport No. 身份證 / 護照號碼: _____

Relationship with Client 與客戶關係: _____ Nationality 國籍: _____

Telephone Number 電話號碼: _____ E-mail address 電郵地址: _____

Residential Address 住宅地址: _____

(b) Are you/Is the ultimate beneficial owner(s) of the Account/the person(s) ultimately responsible for originating instructions of the Account a licensed person or a director or an employee of any licensed corporation/authorized institution (e.g. employee of a brokerage firm, bank etc.) registered with the Securities and Futures Commission?

閣下/帳戶最終受益人/最初負責發出帳戶買賣指示之人士，是否證券及期貨事務監察委員會註冊的持牌人士或持牌法團/註冊機構的董事或僱員？

Yes, name of the licensed person and name of the licensed corporation/registered institution 是，持牌人士及持牌法團/註冊機構的名稱為 _____

No 否

(c) Do you/Does the ultimate beneficial owner(s) of the Account/the person(s) ultimately responsible for originating instructions of the Account have/has any relative(s) working in United Securities Limited or its group companies?

閣下/帳戶最終受益人/最初負責發出帳戶買賣指示之人士是否與團結證券有限公司或其集團公司的任何董事或僱員有親屬關係？

Yes, name of staff 是，職員姓名: _____ Relationship 關係: _____

No 否

(d) Are you, your spouse, partner, child(ren), parent(s), spouse(s) or partner(s) of your child(ren), or a close associate(s) of you entrusted or has been entrusted with a prominent public function, includes a head of state, head of government, senior politician, senior government, judicial or military official, senior executive of a stated-owned corporation and an important political party official?

閣下、閣下之配偶、伴侶、子女、父母、閣下的子女之配偶或伴侶，或與閣下關係密切的人，是否擔任或曾擔任重要公職，包括國家元首、政府首長、資深從政者、高級政府、司法或軍事官員、國有企業高級行政人員及重要政黨幹事？

Yes (如是，請說明): _____

No 否

Disclosure of Group Related Accounts (for Margin Account applicants only)

關聯帳戶披露(只適用於保證金帳戶人)

(a) Is your spouse a margin client of United Securities Limited? 閣下的配偶是否團結證券有限公司的保證金客戶？

Yes, name of my spouse 是，配偶名稱: _____ account number 帳戶號碼: _____

No 否

(b) Are you whether individually or jointly with your spouse control 35% or more voting power of any corporate margin account of United Securities Limited?

閣下是否單獨或與配偶共同控制團結證券有限公司任何一個保證金公司客戶 35%或以上投票權？

Yes, name of client 是，客戶名稱: _____ account number: 帳戶號碼: _____

No 否

Signing Arrangement (for Joint Account applicants only)

簽署安排 (只適用於聯名帳戶人)

You decide that the valid document in connection with the operation (including fund withdrawal and asset transfer) of your Account must be signed by any

one/ two / others _____ of the Account Holders.

閣下決定所有帳戶操作(包括提款及資產轉移)的有效文件，必須由其中一位/ 兩位/ 其他 _____位帳戶持有人簽署。

Client's Declaration and Signature 客戶聲明和簽署

I/We, the undersigned Client(s), represent that the information on this Account Opening Form ("this Form") is true, complete and correct and that I/we have read the attached Customer Agreement ("Agreement") Agreement of United Securities Limited carefully before signing this Form. Information on this Form and representations in the Agreement are collectively referred as the "Account Opening Information". United Securities Limited is entitled to rely fully on such Account Opening Information for all purposes, unless United Securities Limited receives notice in writing of any changes. United Securities Limited is authorized at any time to contact anyone, including but without limitation to my/our banks, brokers or any credit agency for purpose of verifying the Account Opening Information. All transactions to be concluded with or through United Securities Limited shall be subject to the terms and conditions of the Agreement. 本人/吾等(下述「簽署客戶」)茲聲明在本開戶表格內(下稱「本表格」)的資料屬實、完整及正確,及本人/吾等於簽署本表格前已細閱團結證券有限公司 附上之《客戶協議書》(「協議書」)。本表格內的資料及協議書內的申述,以下統稱「開戶資料」,除非團結證券有限公司收到更改有關「開戶資料」內容的書面通知,否則,團結證券有限公司有權在任何用途上完全依賴這些「開戶資料」。團結證券有限公司有權隨時聯絡任何人,包括但不限於帳戶本人/吾等之銀行、經紀或任何信貸調查機構,以求證實「開戶資料」內所載之內容。所有由本人/吾等或透過團結證券有限公司進行之交易,均受協議書內之條文及條款限制。

By signing below, I/we confirm that 本人/吾等在以下簽署,乃確認:-

1. I/We have read, understood and accepted the Agreement, in particular the section entitled "Risk Disclosure Statements", and shall be bound by the terms and conditions of Agreement, as it may be amended from time to time. United Securities Limited have absolute rights to change, amend, delete or substitute any of the terms and conditions in or add new terms and conditions to the Agreement, as updated from time to time. 本人/吾等已細閱、明白及同意協議書,特別是《客戶風險披露聲明》的一節,並接受該等不時經修改的協議書之條文及條款約束。團結證券有限公司有絕對酌情權不時修訂、更改、刪減或取代協議書之任何條文及條款或加入新的條文及條款。
2. I/We acknowledge that I/we have received a copy of the Agreement and hereby confirm that United Securities Limited has provided the Risk Disclosure Statements annexed in the Agreement in English and/or Chinese and I/we have been invited to read the Risk Disclosure Statements, to ask questions and take independent advice (if I/we wish). I/We also understand that the Risk Disclosure Statements does not purport to disclose or explain all the risks and other important aspects of trading in the investment product(s) concerned, and I/we should not engage in the trading of the investment product(s), unless I/we understand the nature of the transaction(s) into which I/we am(are) entering and the extent of my/our exposure to risks. I/We should carefully consider whether trading in the relevant investment product(s) is(are) appropriate for me/us in light of my/our investment experience, objectives, risk appetite, financial resources and other relevant factors, and I/we should seek independent and professional advice from financial, legal, tax as well as other advisors, if in doubt. 本人/吾等謹此聲明本人/吾等已收妥協議書及確認團結證券有限公司已提供中文及/或英文版本附於協議書內的《風險披露聲明》,及本人/吾等已獲邀閱讀該等聲明、提出問題及徵求獨立的意見(如本人/吾等有此意願)。本人/吾等明白該《風險披露聲明》並不能披露或解釋有關的投資產品交易的所有風險和其他重要事項。除非本人/吾等了解有關交易的性質以及本人/吾等所承受風險的程度,本人/吾等不應該參與有關投資產品的交易。本人/吾等應根據本人/吾等的投資經驗、目標、風險承受能力、財政資源和其他因素仔細考慮相關投資產品的交易是否適合本人/吾等。如本人/吾等有疑問,本人/吾等應向財務、法律、稅務和其他顧問尋求獨立和專業的意見。
3. I/We have read, understood and accepted to the terms and conditions and related risks if I/we choose electronic trading and/or e-mail delivery of the Combined Contract Note and Daily Statement/Monthly Statement ("the Statement"). These include, but not limited to, the followings: a. After selecting e-mail address as delivery method of the Statement, I/we will not receive the Statement by post. b. Once the Statement is issued by United Securities Limited, the Statement will be deemed accepted by me/us. c. The email address I/we provided may be used for receiving other notifications, apart from the Statement. d. If I/we do not receive the Statement by e-mail, or it is failed to open the statement, or my/our email address has been changed, or my/our email address is no longer valid, I/we will notify United Securities Limited immediately. e. There is an unpredictable communication blocking problem when transmitting information (including delivery of the Statement by e-mail) through the Internet, which is an unreliable communication medium. I/We acknowledge and understand that I/we will bear all the relevant risks including any loss, such as information leakage, interruption, delay or loss in the transmission of the information and/or the failure of equipment in transmission, and that United Securities Limited will not be responsible for such risks or liable for such loss. 若本人/吾等選用電子交易及/或電子郵件收取綜合成交日結單及月結單(下稱「結單」)時,本人/吾等已細閱、明白及同意有關的條款及條文和相關風險,這包括(但不限於)以下各點: a. 本人/吾等選用電子郵件收取結單後,本人/吾等將不會收到以郵件寄發之結單。 b. 當結單由團結證券有限公司通過電子郵件至本人/吾等的電郵地址後,結單將被視為本人/吾等已收取。 c. 本人/吾等所提供的電郵地址除用作收取結單外,亦可能用作收取其他通知書。 d. 假若本人/吾等沒有收到結單、或未能打開結單、或本人/吾等更改了電郵地址、或本人/吾等的電郵地址不再有效,本人/吾等將會立刻通知團結證券有限公司。 e. 本人/吾等亦同意透過互聯網在傳遞信息(包括以電子郵件發送結單)時,存在不可預料之通訊阻塞問題,屬於不可靠之通訊媒介。本人/吾等承認及明白,任何互聯網或電子郵件中的信息洩漏、中斷、延誤或錯失、及/或因傳送設備失靈而所引致的失敗,本人/吾等會承擔全部相關風險(包括損失),團結證券有限公司將不會為該等風險負責或為該等損失承擔法律責任。
4. I/We acknowledge and agree that the information contained in this Form and Self-Certification Form is collected and may be kept by United Securities Limited for the purpose of automatic exchange of financial account information, and such information may be reported by United Securities Limited to the Inland Revenue Department of Hong Kong S.A.R. and exchanged with the tax authorities of another jurisdiction or jurisdictions in which I/we 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) in Hong Kong. I/we undertake to advise United Securities Limited of any changes in circumstances which affects my/our tax residency status or causes the information contained herein to become incorrect, and to provide United Securities Limited with an updated Self-Certification Form within one month of such change in circumstances. 本人/吾等知悉及同意團結證券有限公司可根據香港《稅務條例》(第 112 章)有關交換財務帳戶資料的法律條文, 收集本表格及自我證明表格所載資料, 並可備存作自動交換財務帳戶資料用途, 及把該等資料和關於本人/吾等及任何須申報帳戶的資料, 向香港特別行政區稅務局申報, 從而把資料轉交到本人/吾等的居留司法管轄區的稅務當局。本人/吾等承諾, 如情況有所改變, 以致影響本表格所述的個人的稅務居民身分, 或引致有關表格所載的資料不正確, 本人會通知團結證券有限公司, 並會在情況發生改變後的一個月內, 向團結證券有限公司重新提交一份已適當更新的自我證明表格。

5. I/We have read the “Personal Data Protection” Clause as contained in the Customer Agreement, understood and agree to them.

本人/吾等已閱讀及同意給予客戶載於客戶協議書內之「個人資料保障」一段。

I /We object to the use of our personal data for direct marketing as specified in “Personal Data Protection” Clause in the Customer Agreement and/or transfer of my/our personal data to United Securities Limited and/or any holding company, subsidiary or affiliate of United Securities Limited for direct marketing.

本人/吾等反對本人/吾等的個人資料被用作客戶協議書內之「個人資料保障」一段所指的服務或產品的直接促銷, 及/或轉移至團結證券有限公司及/或其控股公司、子公司或聯營公司用作相關直接促銷。

If I/We do not tick 「✓」 the box but sign this Account Opening Form, I / we am (are) deemed to have no objection to the use and/or transfer of my / our personal data to United Securities Limited and/or any holding company, subsidiary or affiliate of United Securities Limited for direct marketing. I/We may opt-out from receiving any marketing information or materials at any time should I/We wish to withdraw your consent.

如本人/吾等未有在空格上加「✓」, 但在開戶表格上簽署, 將表示本人/吾等不反對本人/吾等的個人資料可被用作相關直接促銷, 或轉移至團結證券有限公司及/或其控股公司、子公司或聯營公司用作相關直接促銷, 然而本人/吾等可隨時撤銷該同意, 以停止接收任何推廣資料或物品。

6. I/We have read, understood and accepted United Securities Limited’s policy for securities trading of U.S. person and I/we represent and warrant that I/we am/are not a “U.S. person” as interpreted in accordance with the U.S. Internal Revenue Code. I/We agree that I/we will notify United Securities Limited immediately if I/we become a U.S. person. 本人/吾等已細閱、明白及同意團結證券有限公司之美國人士股票交易政策, 本人/吾等聲明及保證本人/吾等並非美國國內稅法詮釋的「美國人士」, 並同意如果本人/吾等成為美國人士, 本人/吾等將立即通知貴公司。

7. I/We have read, understood and accepted that in the circumstances under which dividend of my/our stock(s) is declared with the election on cash dividend/scrip dividend and/or the relevant currency(ies), I/we can elect the form of dividend which I/we preferred by notifying United Securities Limited. However, if I/we do not notify United Securities Limited of my/our election, I/we hereby confirm and agree that United Securities Limited will process the dividend according to the default election by CCASS. 本人/吾等已細閱、明白及同意本人/吾等持有的股票若提供現金股息或票據股息及/或相關貨幣之選擇時, 本人/吾等會通知並指示團結證券有限公司收取股息的方式。若本人/吾等沒有通知團結證券有限公司本人/吾等之選擇時, 本人/吾等確認及同意團結證券有限公司會按照中央結算的默認選擇作安排。

8. I/We understand and agree that United Securities Limited has the right to request for such documents and information of me/us, the ultimate beneficial owner(s) of the Account(s) and/or the person(s) ultimately responsible for originating instructions of the Account(s) from time to time, as it deems appropriate for the purpose of complying with any legal and regulatory requirements (including but not limited to the prevention of money laundering, terrorist-financing and the provision of financial and/or other services to persons or entities which may be subject to sanctions) and conducting client identification, verification and due diligence. United Securities Limited has the sole discretion to refuse to open, suspense or terminate the Account(s) and/or reject any instructions, without giving prior notice to or obtaining consent from you, if sufficient and proper documents or information cannot be provided or the client identification, verification or due diligence process cannot be completed or for any reasons which deemed appropriate. Such reasons include, but are not limited to, the followings: Under a reasonable period of time, the Account(s) has(have) no records of normal funds in and out; the Account(s) has(have) unusual and unreasonable trading activities and/or fund movements; the Account(s) does(do) not maintain a reasonable level of assets or transactions; and/or I/we cannot meet any other requirements of United Securities Limited as amended from time to time. United Securities Limited has the sole discretion to interpret what is meant by “reasonable”. 本人/吾等明白及同意, 團結證券有限公司以其認為適當的原則下, 而毋須事先通知或獲得本人/吾等的同意, 有權不時要求本人/吾等、最終受益人及/或最初負責發出帳戶買賣指示之人士, 提供任何有關的文件和資料, 以符合法律及監管的要求 (包括但不限於防止清洗黑錢、恐怖分子資金籌集、及提供財務及/或其他服務予可能受制裁之人士或實體), 及進行客戶身份辨別、驗證和盡職調查程序。如果本人/吾等未能充份地及適當地提供團結證券有限公司所要求的文件和資料、或因本人/吾等未能配合團結證券有限公司而完成客戶身份辨別、驗證或盡職調查、或因其他任何合理的原因, 團結證券有限公司保留絕對權力以拒絕開立、暫停或終止帳戶及/或拒絕任何指示。該等原因包括但不限於以下: 在合理時間內, 帳戶沒有正常的資金進出紀錄、帳戶有不尋常及不合理的交易活動及/或資金掉動、帳戶沒有維持合理水平的資產或交易活動、及/或本人/吾等不能符合團結證券有限公司任何經不時修訂的要求。團結證券有限公司有絕對決定權以詮釋何謂「合理」。

9. I/We understand and agree to the Client Money Standing Authority (“this Authority”), if applicable, referred to the hereunder and pursuant to the Securities and Futures (Client Money) Rules, which covers money held or received by United Securities Limited in Hong Kong in one or more segregated account(s) on my/our behalf (“Monies”). I/We authorize United Securities Limited to combine or consolidate any or all segregated accounts of any name whatsoever and either individually or jointly with others, maintained by United Securities Limited from time to time and United Securities Limited 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 United Securities Limited, 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 United Securities Limited. United Securities Limited may do any of these things without giving me/us notice. This Authority is given to United Securities Limited in consideration of its agreeing to continue to maintain securities cash account(s) and/or securities margin account(s), if applicable, for me/us, and it is given without prejudice to other authorities or rights which United Securities Limited 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 document. This Authority may be revoked by giving United Securities Limited written notice. I/We understand and agree that this Authority shall be deemed to be renewed for subsequent periods of 12 months without my/our written consent if United Securities Limited issues me/us a written reminder at least 14 days prior to the expiry date of this Authority, and I/we do not object to such deemed renewal before such expiry date. I/We understand that I/we may revoke this authority by giving United Securities Limited at least 5 business days' prior written notice. However, United Securities Limited may, in its sole discretion, treat the revocation notice as having immediate effect upon United Securities Limited receipt. Upon the renewal of this Authority, United Securities Limited shall send me/us a written confirmation of the renewal of this Authority within one week after the date of expiry. 本人/吾等明白並同意根據《證券及期貨（客戶款項）規則》而在此訂立的客戶款項常設授權（下稱「本授權」）的內容（如適用），本授權涵蓋團結證券有限公司代表本人/吾等持有或收取並存放於一個或多個獨立帳戶內的款項（下稱「款項」）。本人/吾等授權團結證券有限公司組合或合併團結證券有限公司所維持的任何或全部獨立帳戶，不論是個別地或與其他帳戶聯合地進行，團結證券有限公司可將該等獨立帳戶內任何數額之款項作出轉移，以符合本人/吾等對團結證券有限公司確實、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；及從團結證券有限公司於任何時候維持的任何獨立帳戶之間來回調動任何數額之款項。團結證券有限公司可不向本人/吾等發出通知而採取上述行動。本授權乃鑑於團結證券有限公司同意繼續本人/吾等的證券現金帳戶及/或證券保證金帳戶（如適用），及並不損害團結證券有限公司可享有有關處理該等獨立帳戶內款項的其他授權或權利。本授權由本文件簽署日期的 12 個月內有效。客戶可以向團結證券有限公司發出書面通知，以撤回本授權。本人/吾等明白及同意若團結證券有限公司在本授權的有效期限屆 14 日前發出書面通知，以提醒本授權即將屆滿，而本人/吾等沒有在本授權屆滿前反對此授權續期，本授權會當作已被續期，每次續期期間為 12 個月。本人/吾等明白，本人/吾等可給予團結證券有限公司至少 5 個工作天的預先書面通知，撤銷此授權。然而，團結證券有限公司有絕對酌情決定權將撤銷授權的書面通知，視為於團結證券有限公司收訖時隨即生效。在本授權續期後，團結證券有限公司在本授權的有效期限屆滿後一星期內，向本人/吾等發出書面確認有關本授權的續期。

10. For margin account only (if applicable) 僅限保證金賬戶（如適用）

I/We understand and agree to the Client Securities Standing Authority ("this Authority"), if applicable, referred to the hereunder and pursuant to the Securities and Futures Ordinance and the Securities and Futures (Client Securities) Rules. I/We hereby authorize United Securities Limited to deal with my/our securities or securities collateral from time to time received or held in Hong Kong on behalf of me/us in one or more of the following ways without further notice to or consent from me/us: (1) apply any of my/our securities or securities collateral pursuant to a securities borrowing and lending agreement; (2) repledge my/our securities collateral with an authorized financial institution as collateral for financial accommodation provided to United Securities Limited; (3) deposit any of my/our securities collateral with (i) a recognized clearing house; or (ii) another intermediary licensed or registered for dealing in securities, as collateral for the discharge and satisfaction of United Securities Limited's settlement obligations and liabilities; or (4) treat and deal with any of my/our securities and securities collateral in such manner as United Securities Limited considers appropriate taking into account any applicable legal and regulatory requirements from time to time. United Securities Limited is accountable to me/us for the return of equivalent securities deposited under this Authority after full repayment by me/us of all my/our outstanding loans under the facility. The Client understand that a third party may have a lien or charge on my/our securities or securities collateral, which United Securities Limited must satisfy before my/our securities or securities collateral can be returned to me/us. The Client are aware that there are risks as I/we hereby provide United Securities Limited with an authority that allows United Securities Limited to apply my/our securities or securities collateral pursuant to a borrowing and lending agreement of securities, repledge my/our securities collateral for financial accommodation or deposit my/our securities collateral as collateral for the discharge and satisfaction of United Securities Limited's settlement obligations and liabilities. I/We hereby acknowledge, and confirm having been informed by United Securities Limited, that United Securities Limited has the practice of repledging securities collateral. This Authority is valid for a period of not more than 12 months from the date of signing this document. This Authority may be revoked by giving United Securities Limited written notice. I/We understand and agree that this Authority shall be deemed to be renewed for subsequent periods of 12 months without my/our written consent if United Securities Limited issues me/us a written reminder at least 14 days prior to the expiry date of this Authority, and I/we do not object to such deemed renewal before such expiry date. I/We understand that I/we may revoke this authority by giving United Securities Limited at least 5 business days' prior written notice. However, United Securities Limited may, in its sole discretion, treat the revocation notice as having immediate effect upon United Securities Limited receipt. Upon the renewal of this Authority, United Securities Limited shall send me/us a written confirmation of the renewal of this Authority within one week after the date of expiry. 本人/吾等明白並同意根據《證券及期貨條例》及《證券及期貨（客戶證券）規則》而在此訂立的客戶證券常設授權（下稱「本授權」）的內容（如適用）本人/吾等特此授權團結證券有限公司以下列一種或多於一種方式，處理不時由團結證券有限公司代本人/吾等在香港收取或持有的證券及證券抵押品，毋須進一步通知本人

／吾等或取得本人/吾等的同意：(1) 依據證券借貸協議運用任何有關本人/吾等的任何證券或證券抵押品；(2) 將本人/吾等的任何證券抵押品再質押於認可的財務機構，作為提供予團結證券有限公司的財務通融的抵押品；(3) 將本人/吾等的任何證券抵押品存放於(i) 認可的結算所；或(ii) 另一獲發牌或獲註冊進行證券交易的中介人，作為解除團結證券有限公司在交收上的義務和清償團結證券有限公司在交收上的法律責任的抵押品；或(4) 按照團結證券有限公司經考慮不時的適用法律及規管規定而認為適當的方式，處理及處置本人/吾等的任何證券或證券抵押品。

當本人/吾等全數償還信貸安排下的所有未清償的貸款後，團結證券有限公司須負責向本人/吾等歸還在此授權下存放的相等證券。本人/吾等明白，本人/吾等的證券或證券抵押品可能受制於第三者之留置權或押記，團結證券有限公司必須先行了結有關留置權或押記，方可將本人/吾等的證券或證券抵押品歸還本人/吾等。本人/吾等授權團結證券有限公司依據證券借貸協議運用本人/吾等的任何證券或證券抵押品、或准許團結證券有限公司再質押本人/吾等的證券抵押品以取得財務通融、或准許團結證券有限公司存放本人/吾等的證券抵押品作為履行團結證券有限公司交收義務與責任的抵押品，本人/吾等知悉如此授權是帶有風險的。本人/吾等獲悉及確認團結證券有限公司有將證券抵押品再質押的做法。本授權由本文件簽署日期的 12 個月內有效。客戶可以向團結證券有限公司發出書面通知，以撤回本授權。本人/吾等明白及同意若團結證券有限公司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，而本人/吾等沒有在本授權屆滿前反對此授權續期，本授權會當作已被續期，每次續期期間為 12 個月。本人/吾等明白，本人/吾等可給予團結證券有限公司至少 5 個工作天的預先書面通知，撤銷此授權。然而，團結證券有限公司有絕對酌情決定權將撤銷授權的書面通知，視為於團結證券有限公司收訖時隨即生效。在本授權續期後，團結證券有限公司在本授權的有效期限屆滿後一星期內，向本人/吾等發出書面確認有關本授權的續期。

Primary Joint Account Holder's Signature
主要帳戶申請人簽署

Secondary Joint Account Holder's Signature
第二帳戶申請人簽署

Date 日期

Date 日期

Witness Signature 見證人簽署

This Account Opening Form should be signed in front of a licensed representative of United Securities Limited, or where the Account Opening Form are not executed in the presence of the licensed representative, the Account Opening Form must be signed and witnessed by a Justice of Peace, Branch Manager of a bank, Lawyer, Certified public accountant or notary public. 此開戶表格應該在團結證券有限公司的持牌代表前簽署及見證，倘若在開戶時持牌代表並不在現場進行見證，則本開戶表格必須由太平紳士，銀行分行經理，律師，執業會計師或公證人見證下簽定。

If the Account Opening Form **are not signed and witnessed in front of the above specified person**, please submitted with a crossed cheque bearing the Client's name shown in the Client's identity document and drawn on the Client's same name account with a licensed bank in Hong Kong with the Client's same signature(s) as shown in this Form in favor of "United Securities Limited" for not less than HK\$10,000.00 (or such other amount as may be advised by United Securities Limited). The Client's approved new account will not be activated until the cheque is cleared. 若客戶並非在上述人士見證下簽立此開戶表格，請連同客戶在香港的持牌銀行開立的帳戶並由客戶所簽發，而該簽名須與此開戶表格上的客戶簽名相符，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“團結證券有限公司”及其數額不得少於壹萬港元(或團結證券有限公司通知客戶的其他數額)，一併遞交。客戶被批核的新帳戶必須待支票兌現後才可使用。

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

Occupation of Witness
見證人職務

Date 日期

Declaration by Licensed Staff (For Official Use Only)**持牌職員聲明 (只供本行使用)**

I, the representative of United Securities Limited, hereby declare and confirm that I have provided the Risk Disclosure Statements annexed hereto this Form in a language (English or Chinese) at the choice of the Client(s), and invited the Client(s) to read the Risk Disclosure Statements, ask questions and take independent professional advice, if the Client(s) wishes(wish). 本人為團結證券有限公司的註冊職員，並謹此聲明及確認本人已按照客戶所選擇的語言(英文或中文)提供附於本表格的風險披露聲明，及邀請客戶閱讀該風險披露聲明、提出問題及徵求獨立的專業意見(如客戶有此意願)。

Signature of Licensed Staff

持牌職員簽署

Name of Licensed Staff

持牌職員名稱

CE No.

中央編號

Date

日期

Below is only for non-face-to-face account opening. 以下只適用於非親身開戶：

Recorded Line No.

錄音電話號碼

Recorded Time

錄音時間

Supplementary Information (For Official Use Only)**附加資料 (只供本行使用)****Internal Review Record (For Official Use Only)****內部審核記錄 (只供本行使用)**

Handled By (Name/Signature/Date):

Approved By (Name/Signature/Date):

Endorsed By (Name/Signature/Date):

Input By (Name/Signature/Date):

Data Checked By (Name/Signature/Date):

Derivative Products: Yes / No

Commission Rate: % (Min. HK\$)

Debit Interest Rate: %

Credit Limit (if applicable):

Maximum Exposure (if applicable):

Remarks: