

Account Name:

帳戶名稱:

\_\_\_\_\_

Account No.:

帳戶號碼:

\_\_\_\_\_



**交銀國際證券有限公司**

**BOCOM INTERNATIONAL SECURITIES LIMITED**



**交銀國際資產管理有限公司**

**BOCOM INTERNATIONAL ASSET MANAGEMENT LIMITED**

**(“BOCOM”)**

**ACCOUNT APPLICATION FORM –  
INDIVIDUAL**

**開戶申請表 - 個人**

**FOR OFFICIAL USE ONLY**

FOR OFFICIAL USE ONLY		
MAKER	CHECKER	OPENED

# ACCOUNT APPLICATION FORM – INDIVIDUAL / JOINT

## 開戶申請表 – 個人 / 聯名

(Please “✓” as appropriate 請在適當位置加“✓”)

Application 申請帳戶	<input type="checkbox"/> Individual Account 個人帳戶	<input type="checkbox"/> Joint Account 聯名帳戶
Licensed Corporation 持牌機構	Account Type 帳戶類別	Internet Trading Services 網上交易服務*
<input type="checkbox"/> BOCOM International Securities Limited 交銀國際證券有限公司	<input type="checkbox"/> Securities Cash Account 證券現金帳戶 <input type="checkbox"/> Securities Margin Account 證券保證金帳戶 <input type="checkbox"/> HK Exchange Traded Stock Options 香港交易所買賣之股票期權 <input type="checkbox"/> Futures Account 期貨帳戶	<input type="checkbox"/> Internet Securities Trading 網上證券交易 <input type="checkbox"/> Internet Stock Options Trading 網上股票期權交易 <input type="checkbox"/> Internet Futures Trading 網上期貨交易  <i>*(Please provide email address if apply internet trading service. 如開通網上交易服務，必須提供電郵地址)</i>
<input type="checkbox"/> BOCOM International Asset Management Limited 交銀國際資產管理有限公司	<input type="checkbox"/> Asset Management Account 資產管理帳戶	

### Applicant's Personal Information 申請人個人資料

#### First Applicant 第一申請人

#### Second Applicant 第二申請人

Mr. 先生     Mrs. 太太     Ms. 女士     Mr. 先生     Mrs. 太太     Ms. 女士

<p>(1) <b>Account name (In English)</b> : _____</p> <p>帳戶名稱 (中文) : _____</p> <p>(2) <b>ID card No. 身份證號碼</b> : _____</p> <p>(3) <b>Passport No. (if applicable)</b> 護照號碼 (如適用) : _____</p> <p>(4) <b>Nationality 國籍</b> : _____</p> <p>(5) <b>Date of Birth 出生日期</b> : _____</p>	<p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>	<p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>
<p><i>Relationship with First Applicant</i> 與戶口第一申請人關係 : _____</p>		
<p>(6) <b>Marital Status 婚姻狀況</b> : <input type="checkbox"/> Single 未婚   <input type="checkbox"/> Married 已婚 <input type="checkbox"/> Others 其他 : _____</p> <p>(7) <b>Residential Address 住宅地址</b> : _____ <small>(Please provide the address proof 請提供地址證明)</small> <small>P.O. Box is not acceptable 恕不接受郵政信箱</small></p> <p><b>Correspondence Address 通訊地址</b> : _____ <small>(If different from the above 如與上述不同)</small> <small>please provide the address proof 請提供地址證明)</small> <small>P.O. Box is not acceptable 恕不接受郵政信箱</small></p> <p><b>E-mail Address 電子郵件地址</b> : _____</p> <p><b>Home Tel. 住宅電話號碼</b> : _____</p> <p><b>Mobile No. 手提電話號碼</b> : _____</p> <p><b>WeChat ID 微信帳號</b> : _____</p>	<p><input type="checkbox"/> Single 未婚   <input type="checkbox"/> Married 已婚 <input type="checkbox"/> Others 其他 : _____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>	

Fax No. 傳真號碼 : \_\_\_\_\_

- (8) Employment Status 就業情況
- |   |   |
|---|---|
| <input type="checkbox"/> Not currently employed 非在職       | <input type="checkbox"/> Not currently employed 非在職       |
| <input type="checkbox"/> Student 學生                       | <input type="checkbox"/> Student 學生                       |
| <input type="checkbox"/> Retired 退休                       | <input type="checkbox"/> Retired 退休                       |
| <input type="checkbox"/> Housewife 家庭主婦                   | <input type="checkbox"/> Housewife 家庭主婦                   |
| <input type="checkbox"/> Employed 受僱*                     | <input type="checkbox"/> Employed 受僱*                     |
| <input type="checkbox"/> Self-Employed 自僱*                | <input type="checkbox"/> Self-Employed 自僱*                |
| <input type="checkbox"/> Others, please specify: 其他, 請註明* | <input type="checkbox"/> Others, please specify: 其他, 請註明* |
- : \_\_\_\_\_ : \_\_\_\_\_

**\*If chosen Employed/ Self-Employed/Others in Employment Status, please fill in the following information:**

**\*如就業情況選擇受僱/自僱/其他, 請填寫以下資料:**

Name of Business Organization : \_\_\_\_\_  
公司名稱 \_\_\_\_\_

Nature of Business 業務性質 : \_\_\_\_\_  
業務性質 \_\_\_\_\_

Position 職位 : \_\_\_\_\_  
職位 \_\_\_\_\_

Year(s) of Service 服務年期 : \_\_\_\_\_  
服務年期 \_\_\_\_\_

Office Address 辦公室地址 : \_\_\_\_\_  
辦公室地址 \_\_\_\_\_

Office Tel No. 辦公室電話號碼 : \_\_\_\_\_  
辦公室電話號碼 \_\_\_\_\_

Office Fax No. 辦公室傳真號碼 : \_\_\_\_\_  
辦公室傳真號碼 \_\_\_\_\_

(9) Bank information and transfer instructions 銀行資料及轉賬指示

I / We hereby authorized BOCOM to accept my / our telephone / verbal instruction for fund withdrawal from my/our Securities, Futures, Stock Options or Asset Management Account(s) to the following designated bank account or transfer between my/our Securities, Futures, Stock Options and/or Asset Management Account(s).

**[Please provide the designated receiving bank proof with account name and number showing.]**

本人/吾等現授權交銀國際由即日起接納本人/吾等之電話提款提示, 從本人/吾等之證券/期貨/股票期權/資產管理帳戶提取款項至本人/吾等於下列銀行開立之銀行帳戶或證券、期貨、股票期權及/或資產管理帳戶間之轉賬, 銀行資料如下:

**[請提供印有帳戶名稱及帳戶號碼的指定收款銀行證明文件]**

**Local Bank 本地銀行**

Bank Name 銀行名稱: \_\_\_\_\_ Account No. 戶口號碼: \_\_\_\_\_ Currency 貨幣: \_\_\_\_\_

**Overseas Bank 海外銀行**

Bank Name 銀行名稱: \_\_\_\_\_ Account No. 戶口號碼: \_\_\_\_\_ Currency 貨幣: \_\_\_\_\_

Bank Address 銀行地址: \_\_\_\_\_ (SWIFT Code: \_\_\_\_\_)

**(10) Delivery of Combined Statements/Internet password 結單/網上交易系統密碼寄發**

(a) Combined Statements language 綜合結單語言:

English 英文 /  Traditional Chinese 繁體中文 /  Simplified Chinese 簡體中文

(b) Method of combined statement collection (please select one) [Service fee will be applied to paper statements for environmental reasons. Please refer to our fees table for details.]

綜合結單收取方式 (請選其一) [因環保理由, 選擇郵寄結單, 將會被收取服務費, 詳情請查閱收費表]:

By e-mail 電郵 /  By post 郵寄: (  Residential Address 住宅地址 /  Correspondence Address 通訊地址 )

(c) Internet Password 網上交易系統密碼:

E-mail to register email address 電郵至登記郵件地址

Other email address 其他電郵 (Please specify 請說明): \_\_\_\_\_

*\*BOCOM 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 beyond BOCOM's control or any other reasons. 交銀國際將不會對因通訊設施之故障或傳送失靈, 或非本人/吾等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。*

**(11) Are you the ultimate beneficiary owner(s) in relation to the Account?**

你是否此帳戶的最終實益擁有人?

Yes 是

No, details of the ultimate beneficiary owner(s) 否, 帳戶的最終實益擁有人詳細資料:

Name 姓名: \_\_\_\_\_ ID / Passport No. 身份證/護照號碼: \_\_\_\_\_ Nationality 國籍: \_\_\_\_\_

Contact No. 聯絡電話: \_\_\_\_\_ Occupation 職業: \_\_\_\_\_

Reason 原因: \_\_\_\_\_

Address 地址: \_\_\_\_\_

**(12) Are you ultimately responsible for originating instructions in relation to a transaction to be conducted through the Account?**

你是否最終負責就帳戶進行交易發出指示?

Yes 是

No, details of the person ultimately responsible for originating instructions in relation to a transaction to be conducted through the Account

否, 最終負責就帳戶進行交易發出指示人士詳細資料:

Name 姓名: \_\_\_\_\_ ID / Passport No. 身份證/護照號碼: \_\_\_\_\_ Nationality 國籍: \_\_\_\_\_

Contact No. 聯絡電話: \_\_\_\_\_ Occupation 職業: \_\_\_\_\_

Reason 原因: \_\_\_\_\_

Address 地址: \_\_\_\_\_

**(13) Do you authorize any third party to operate your account?**

閣下是否授權第三者操作閣下帳戶?

No 否

Yes 是 **Please complete the AUTHORIZATION LETTER FOR THIRD PARTY TO OPERATE ACCOUNT 請填寫第三者操作帳戶授權書**

**Identity Declaration 身分聲明**

(1) Please disclose if you (including any of the joint account holders), your spouse or /and any related person(s) is/are client(s) of BOCOM ? If so, please provide the account name(s) and number(s).

請披露閣下 (包括聯名帳戶各持有人), 其配偶及各自的關連人士是否交銀國際的客戶? 若是者, 請提供帳戶名稱及號碼。

No 否  Yes 是

Account Name: \_\_\_\_\_ Account No.: \_\_\_\_\_ Relationship: \_\_\_\_\_  
 帳戶名稱 帳戶號碼 關係

(2) Are you (including any of the joint account holders) a relative of an employee or a director of BOCOM?

閣下(包括聯名帳戶各持有人) 是否交銀國際僱員或董事之親屬?

No 否  Yes 是 Name 姓名: \_\_\_\_\_ Relationship 關係: \_\_\_\_\_

(3) Are you (including any of the joint account holders) 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.

閣下 (包括聯名帳戶各持有人) 是否香港證券及期貨事務監察委員會註冊或持牌人士, 或該人士之僱員或董事, 或香港金融管理局的有關人士? 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。

No 否  Yes 是 CE No.: \_\_\_\_\_ Name of licensed/registered person: \_\_\_\_\_  
 中央編號 持牌/註冊人士名稱

(4) Do you (including any of the joint account holders) have any relationship with senior officers / directors / substantial shareholders of any company whose shares are traded on any exchange?

閣下 (包括聯名帳戶各持有人) 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?

No 否  Yes 是 Company Name: \_\_\_\_\_ Stock Code: \_\_\_\_\_  
 公司名稱 上市編號

(5) Are you a U.S. Resident (including U.S. tax resident)? 閣下是否美國居民 (包括需要繳付美國稅項之人士)?  No 否  Yes 是

Are you a U.S. Citizen? 閣下是否美國公民?  No 否  Yes 是

Do you hold a U.S. Permanent Resident Card (Green Card) ? 閣下是否持有美國永久居民身份證(綠卡) ?  No 否  Yes 是

*If Any of the above answer is YES, please complete the Form W9 ;*

*If NONE of the above answer is YES, you are declared that you are not a U.S. person for the purpose of U.S. federal income tax and that you are not acting for, on or behalf of a U.S. person, please complete the Form W-8BEN. A U.S. person is one who is a U.S. Citizen, U.S. Resident or Green Card holder.*

*以上其中一項為「是」, 請客戶填寫表格 W9 ; 如全部是否, 即客戶向我司陳述及保證就美國聯邦入息稅而言並非美國人士, 同時亦非代表美國人士行事, 請客戶填寫表格 W-8BEN。美國人即美國公民、美國居民、「綠卡持有者」。*

**Applicable to Securities Margin Account only 只適用於證券保證金帳戶**

(6) Is your (including any of the joint account holders) spouse a margin client of BOCOM? If so, please provide the account name(s) and number(s).

閣下 (包括聯名帳戶各持有人) 之配偶是否現有交銀國際的證券保證金客戶? No 否 Yes 是:

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

帳戶名稱

(7) Do you act for Third Party? Third Party means a person who is not BOCOM's margin client, but is a beneficial owner of your account or stands to gain the commercial or economic benefit or bear the commercial or economic risk arising from your account.

閣下是否代表第三方行事? 第三方指非交銀國際保證金客戶, 但卻是閣下帳戶的實益擁有人, 或會從閣下帳戶中取得商業或經濟利益或承擔商業或經濟風險。

No 否

Yes 是

If yes, please provide 如是, 請提供:

Name of the Third Party 第三方的名稱: \_\_\_\_\_

ID Card No./ Passport No./ Registration No. in Country of Incorporation/Establishment/ Hong Kong Business Registration No.

身份證號碼/ 護照號碼/ 註冊/成立國家之註冊號碼/ 香港商業登記號碼: \_\_\_\_\_

(8) Do you act through BOCOM's other margin clients (other than spouse), and is the beneficial owner of that client's account or is a beneficial owner of your account or stands to gain the commercial or economic benefit or bear the commercial or economic risk arising from your account?

閣下有否透過交銀國際其他保證金客戶(配偶除外)行事, 並且是該客戶的保證金帳戶的實益擁有人, 或會從該帳戶中取得商業或經濟利益或承擔商業或經濟風險? No 否 Yes 是:

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

帳戶名稱

帳戶號碼

(9) Are you (including any of the joint account holders), either alone or with spouse, in control of 35% or more of the voting rights of any corporate securities margin client of BOCOM? If so, please provide the account name(s) and number(s).

閣下 (包括聯名帳戶各持有人) 是否個人或與配偶共同控制交銀國際的公司證券保證金客戶 35%或以上的投票權? No 否 Yes 是:

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

帳戶名稱

帳戶號碼

(10) Is your financial liability guaranteed by any other margin client of BOCOM?

閣下的財務負債有否透過擔保安排由交銀國際另一名保證金客戶承擔? No 否 Yes 是:

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

帳戶名稱

帳戶號碼

## Investor Characterization Questionnaire 投資者分類問卷

**Knowledge of Derivative Products 對衍生產品的認識** (Please “✓” appropriate box(es) 請在適當位置加“✓”)

	First Applicant 第一申請人	Second Applicant 第二申請人
<p>1. In the past three years, did you ever execute five or more transactions relating to derivative and/or structured products?</p> <p>在過往三年中，閣下曾否執行過 5 宗或以上有關衍生及/或結構性產品的交易？</p>	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
<p>2. Have you ever undergone training or attended courses in relation to derivative and/or structured products, either in the form of online or classroom, offered by academic or financial institutions?</p> <p>閣下曾否接受或參加由學術或金融機構提供有關衍生及/或結構性產品之網上或教室形式之培訓或課程？</p>	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
<p>3. Did you gain general knowledge of the nature and risks of derivative and/or structured products through any training programme?</p> <p>閣下是否從任何培訓課程獲得有關衍生及/或結構性產品的性質和風險的一般知識？</p>	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
<p>4. Has any of your current or past work experience been related to derivative and/or structured products?</p> <p>If yes, please state .</p> <p>閣下現時或過往之工作經驗是否與衍生及/或結構性產品有關？如有，請列明。</p>	<p><input type="checkbox"/> Yes 是</p> <p>Your occupation and its nature</p> <p>閣下之職業及其性質：</p> <p>_____</p> <p>Your service period 閣下之服務時期: From 由 _____ to 至 _____</p> <p><input type="checkbox"/> No 否</p>	<p><input type="checkbox"/> Yes 是</p> <p>Your occupation and its nature</p> <p>閣下之職業及其性質：</p> <p>_____</p> <p>Your service period 閣下之服務時期: From 由 _____ to 至 _____</p> <p><input type="checkbox"/> No 否</p>

## Client's Declaration And Confirmation 客戶聲明及確認

I/We represent that the information provided in this Account Application Form, client's agreement and other account opening document ("Agreement") is true and correct, and authorize BOCOM to verify it with any source. I/We undertake to promptly notify BOCOM if there is any change to the information I/we provided in the Agreement. I/We are aware of that the "Client Agreement and Risk Disclosure Statements" and any addendum to it (if applicable) in both English and Chinese have been made available to me/us on BOCOM's website at <http://www.bocomgroup.com> and I/we have been invited to read the same, ask questions and seek professional advice if necessary. I/We have read and understood the terms and conditions set out in the Client Agreement and Risk Disclosure Statements and understood that such terms and conditions may be amended and/or supplemented from time to time. I/We agree to be bound by each of such terms and conditions and any of their amendments and/or supplements made from time to time. I/We fully understand that by opening securities cash / securities margin /stock options/ futures/ Asset Management account(s) with BOCOM, BOCOM will only act as an execution broker to provide me/us with execution, clearing and settlement services and/or as investment manager to provide asset management services. I/We understand that BOCOM may take steps to assess my/our risk tolerance and investment experience/knowledge due to compliance reasons, but I/we should not take these steps and the information provided under these steps as investment advice.

### Applicable to the collection of Jurisdiction of Residence & Taxpayer Identification Number or its Functional Equivalent ("TIN")

(a) I/We acknowledge and agree that (i) the information is collected and may be kept by BOCOM for the purpose of automatic exchange of financial account information, and (ii) such information and information regarding myself/us 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 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).

(b) I/We undertake to advise BOCOM of any change in circumstances which affects my/our tax residency status or causes the information contained herein to become incorrect, and to provide BOCOM with a suitably updated self-certification form within 30 days of such change is circumstances.

本人/吾等聲明本開戶申請表、客戶協議書及其他開戶文件(“協議”)內容真實無誤，並授權交銀國際通過任何人士進行核實。本人/吾等承諾在協議中提供的資料如有任何變更，會立即通知交銀國際。本人/吾等知道“客戶協議及風險披露聲明”及附錄(如適用)之中英文版經交銀國際的網站 [www.bocomgroup.com/](http://www.bocomgroup.com/) 提供給本人/吾等，及已被邀請閱讀、

提出問題並在必要時尋求專業意見。本人/吾等已閱讀及明白客戶協議中的條款和風險披露聲明，並理解這些條款進行不定時的修改和/或補充，本人/吾等亦同意受到這些條款以及不時修正和/或補充之條款約束。本人/吾等完全明白在交銀國際開立證券現金/證券保證金/股票期權/期貨/資產管理帳戶，交銀國際將作為執行經紀（只適用於資產管理帳戶之投資經理）只提供本人/吾等的執行、清算和結算(資產管理)服務。本人/吾等明白，因應法規之原因，交銀國際可能採取措施來評估本人/吾等的風險承受能力和投資經驗/知識，但本人/吾等不應該根據這些步驟及相關內容提供的信息作為投資建議。

**適用於收集居留司法管轄區及稅務編號或具有等同功能的識別編號(簡稱「稅務編號」)**

(a) 本人/吾等知悉及同意，交銀國際可根據《稅務條例》(第 112 章)有關交換財務賬戶資料的法律條文，(i)收集所載資料並可備存作自動交換財務賬戶資料用途及(ii)把該等資料和關於本人/吾等及任何須申報賬戶的資料向香港特別行政區政府稅務局申報，從而把資料轉交到本人/吾等的居留司法管轄區的稅務當局。

(b) 本人/吾等承諾，如情況有所改變，以致影響本人/吾等的稅務居民身分，或引致所載的資料不正確，會通知交銀國際，並會在情況發生改變後 30 日內，向交銀國際提交一份已適當更新的自我證明表格。

## Client's Signature 客戶簽署

First Applicant's Signature 第一申請人簽署

Name 姓名: \_\_\_\_\_

Date 日期: \_\_\_\_\_

Second Applicant's Signature 第二申請人簽署

Name 姓名: \_\_\_\_\_

Date 日期: \_\_\_\_\_

**(Applicable to Joint Account applicants only 只適用於聯名帳戶申請人)**

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 \_\_\_\_ of the account holders.

閣下決定所有戶口操作（包括提款及資產轉移）的有效文件必須由其中\_\_\_\_\_位戶口持有人簽署。

## Internal Use Only 供內部使用

Is the person of presence the Licensed Representative of BOCOM International Securities Limited or BOCOM International Asset Management Limited?

見證人士是否交銀國際證券有限公司或交銀國際資產管理有限公司之持牌代表?

YES 是  NO 否 (If no, please remind client to sign and return [COVERING CORRESPONDENCE] 如否，請提示客戶請填寫「說明函件」)

In the presence of 在下述人士面前簽署#

In the presence of 在下述人士面前簽署#

Signature 簽署

Name 姓名: \_\_\_\_\_

CE Number 中央編號: \_\_\_\_\_

Address 地址: \_\_\_\_\_

Occupation 職業: \_\_\_\_\_ Date 日期: \_\_\_\_\_

Signature 簽署

Name 姓名: \_\_\_\_\_

CE Number 中央編號: \_\_\_\_\_

Address 地址: \_\_\_\_\_

Occupation 職業: \_\_\_\_\_ Date 日期: \_\_\_\_\_

**# Except Licensed Representative of BOCOM International Securities Limited or BOCOM International Asset Management Limited, witness must be completed by staff of BOCOM International Holdings Company Limited or OTO account manager / private banking consultant of Bank of Communication or the professional person (notary public /branch manager or above position of a bank in equivalent jurisdictions / lawyer / certified public accountant /Justice of Peace).**

除交銀國際證券有限公司或交銀國際資產管理有限公司之持牌代表外，見證人核證必須由交銀國際控股有限公司之員工或交通銀行沃德客戶經理/私人銀行顧問或專業人士(公證人/對等司法管轄區的持牌銀行經理或以上崗位之人士/執業律師/執業會計師/太平紳士)進行。

DECLARATION BY LICENSED REPRESENTATIVE 持牌代表聲明

I, a licensed person, declare that I have provided the above customer with a copy of the Risk Disclosure Statement in a language of the customer's choice (English or Chinese) and have invited the customer to read the Risk Disclosure Statement, ask questions and take independent advice if the customer so wishes.

本人，以持牌人身份，確認本人已按照上述客戶所選擇的語言（英文或中文）提供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意見（如客戶有此意願）。

Signed By 簽署

Name of licensed person 持牌人姓名: \_\_\_\_\_

CE Number 中央編號: \_\_\_\_\_

Date 日期: \_\_\_\_\_

Accepted and Confirmed by BOCOM International Securities Limited/BOCOM International Asset Management Limited

交銀國際證券有限公司/交銀國際資產管理有限公司接受及確認

Authorized Signature 授權簽署

Date 日期: \_\_\_\_\_



**AUTHORIZATION LETTER FROM MARGIN CLIENT**  
**保證金客戶授權書**

To : BOCOM INTERNATIONAL SECURITIES LIMITED  
11/F, Man Yee Building, 68 Des Voeux Road Central, Hong Kong  
致 : 交銀國際證券有限公司  
香港中環德輔道中 68 號  
萬宜大廈 11 樓

Dear Sirs 敬啟者:

**Client Securities Standing Authority 客戶證券常設授權**

According to the Securities and Futures (Client Securities) Rules (Cap. 571H), I/We hereby authorise you, in relation to any or all of the securities purchased or held by you for or on my/our behalf or securities collateral deposited with or otherwise provided to you by or on behalf of me/us without any further notice to me/us, to: - 根據《證券及期貨(客戶證券)規則》(第 571H 章), 就由貴公司代本人/吾等購買或持有的任何或所有證券, 或存放於貴公司或由本人/吾等或代本人/吾等向貴公司提供的證券抵押品, 本人/吾等現授權貴公司無須向本人/吾等作出任何另外通知而:

- (i) apply any of my/our securities or securities collateral in question pursuant to a securities borrowing and lending agreement;  
根據證券借用及借出協議應用任何所提及本人/吾等的證券或證券抵押品;
- (ii) deposit any of my/our securities collateral in question with an authorized financial institution as collateral for financial accommodation provided to you;  
將所提及的本人/吾等的任何證券抵押品存放於一認可財務機構, 作為提供予貴公司的財務通融的抵押品;
- (iii) deposit any of my/our securities collateral with Hong Kong Securities Clearing Company Limited ("HKSCC") as collateral for the discharge and satisfaction of your settlement obligations and liabilities. I/We understand that HKSCC will have a first fixed charge over my/our securities to the extent of your obligations and liabilities;  
將任何本人/吾等的證券抵押品存於香港中央結算有限公司(「中央結算」), 作為解除貴公司在交收上的義務和清償貴公司在交收上的法律責任的抵押品。本人/吾等明白中央結算因應貴公司的責任和義務而對本人/吾等的證券設定第一固定押記;
- (iv) deposit any of my/our securities collateral in question with a recognized clearing house or another intermediary licensed or registered for dealing in securities as collateral for the discharge and satisfaction of your settlement obligations and liabilities; and  
將所提及的本人/吾等的任何證券抵押品存放於一認可結算所或另一獲發牌或獲註冊進行證券交易的中介人, 作為解除及履行貴公司的交收義務和責任的證券抵押品;及
- (v) apply or deposit any of my/our securities collateral in accordance with above paragraphs (i), (ii), (iii) &/or (iv) if you provide financial accommodation to me/us in the course of dealing in securities and also provide financial accommodation to me/us in the course of any other regulated activity for which you are licensed or registered.  
如貴公司在進行證券交易及貴公司獲發牌或獲註冊進行的任何其他受規管活動的過程中向本人/吾等提供財務通融, 即可按照上述第(i)、第(ii)、第(iii)及/或第(iv)段所述運用或存放任何本人/吾等的證券抵押品。

The authorization given hereunder may be revoked by me/us giving you written notice at your address set out above or otherwise notified to me/us in writing. Such notice shall take effect upon the expiry of 14 days from the date of your actual receipt of such notice.  
本人/吾等可按上述貴公司地址或其他貴公司以書面通知本人/吾等之地址, 以書面通知貴公司撤銷於此授予之授權。該通知在貴公司實際收到通知之日後 14 日屆滿時生效。

I/We understand that the authorizations given hereunder shall be valid for 12 months from the date hereof, subject to my/our renewal. The authorizations given hereunder shall be deemed to be renewed if you give me/us a written reminder at least 14 days prior to the expiry date of the relevant authorizations, and I/we do not object to such deemed renewal before such expiry date.  
本人/吾等/本人/吾等明白於此授予之授權應由簽發本函之日起 12 個月有效, 並可續期。倘若貴公司在此授予之授權的有效期限屆滿最少 14 日前向本人/吾等/本人/吾等發出有關授權將被視為自動續期的書面提示, 而本人/吾等/本人/吾等於有關授權的期限屆滿前不表示反對, 則於此授予之授權被視為已續期。

This letter has been explained to me/us and I/we understand and agree with its contents.  
貴司已向本人/吾等解釋本函的內容, 而本人/吾等明白及同意其內容。

\_\_\_\_\_  
First Applicant's Signature 第一申請人簽署

Name 姓名: \_\_\_\_\_

ID No./ Passport No. 身份證號碼: \_\_\_\_\_

Date 日期: \_\_\_\_\_

\_\_\_\_\_  
Second Applicant's Signature 第二申請人簽署

Name 姓名: \_\_\_\_\_

ID No./ Passport No. 身份證號碼: \_\_\_\_\_

Date 日期: \_\_\_\_\_

說明函件中提及之交銀國際控股有限公司(「交銀國際」)包括交銀國際證券有限公司、交銀國際(亞洲)有限公司、交銀國際資產管理有限公司及交銀國際(上海)股權投資管理有限公司。

BOCOM INTERNATIONAL HOLDINGS COMPANY LIMITED (“BOCOM”) mentioned in Covering Correspondence include BOCOM International Securities Limited, BOCOM International (Asia) Limited, BOCOM International Asset Management Limited and BOCOM International (Shanghai) Equity Investment Management Company Limited.

## COVERING CORRESPONDENCE 說明函件

### Important Notice 重要通函

BOCOM hereby draw your attention to the risk disclosure statement attached herewith (the “Client Agreement and Risk Disclosure Statement”) and that contained in the Terms and Conditions for Securities Trading, Stock Options Trading, Futures Trading and/or Asset Management and any Addendum (if applicable) and the Customer is reminded that any of the above may be amended from time to time.

交銀國際特此提示閣下注意及閱讀本函附上及證券交易/股票期權交易/期貨交易及/或資產管理及任何附錄的條款及條件所載之風險披露聲明(「客戶協議及風險披露書」)。客戶獲悉上述文件會不時更新。

### Customer’s acknowledgement 客戶確認

I / We confirm that I / we have received, read and understood the (a) Terms and Conditions for Securities Trading, Stock Options Trading, Futures Trading and/or Asset Management, and any Addendum (if applicable) in the language at my/our choice; (b) the Risk Disclosure Statement, and that I / we have been drawn attention to the risk disclosure statement, and have been invited to ask questions and to take independent advice (if I / we wish).

本人/吾等確認已收到、閱讀並明白(a) 按本人/吾等選擇的語言提供的證券交易/股票期權交易/期貨交易及/或資產管理及任何附錄(如適用)的條款及條件; (b) 風險披露聲明。本人/吾等已獲邀注意閱讀有關風險披露聲明、提出問題及徵求獨立意見(如本人/吾等有此意願)。

\_\_\_\_\_  
First Applicant’s Signature 第一申請人簽署

Name 姓名: \_\_\_\_\_

ID No./ Passport No. 身份證號碼: \_\_\_\_\_

Date 日期: \_\_\_\_\_

\_\_\_\_\_  
Second Applicant’s Signature 第二申請人簽署

Name 姓名: \_\_\_\_\_

ID No./ Passport No. 身份證號碼: \_\_\_\_\_

Date 日期: \_\_\_\_\_

*\*\*Non Face to Face Account Opening Definition: Account opening processing is not under the Licensed Representative of BOCOM International Securities Limited or BOCOM International Asset Management Limited*

*\*\*非面對面帳戶開立定義: 戶口並非在交銀國際證券有限公司或交銀國際資產管理有限公司之持牌代表的視線或存在下開立*

**Risk Disclosure Statements Relating to this Authorization Letter 有關本授權書之風險披露聲明**

1. This is an IMPORTANT document. By appointing the person herein stated as your Authorized Person to act on your behalf, you should be aware that the person so authorized is acting as your agent. Such authorization gives rise to certain risks and legal consequences of which you should be aware and prepared to accept.  
這是一份重要文件，閣下應該明白，當閣下指派下述人士以閣下的授權人士身分代辦事情，該名授權人士將會成為閣下的代理人，閣下更應該明白此等授權會引致若干風險和法律後果，閣下應預備承擔。
2. Please DO NOT sign this authorization letter if you have not been informed of or do not fully understand the consequences of signing this letter. You are advised to obtain competent legal advice on your rights, obligations and remedies under this letter and to clarify any doubts which you may have before signing this letter.  
倘若閣下未知曉或不完全明白簽署本授權書之後果，千萬不要簽署這份文件。閣下應該先就閣下在本文件下享有的權利、責任和補救方法，取得足夠的法律意見，並澄清所有疑問之後，才簽署本文件。

**AUTHORIZATION LETTER FOR THIRD PARTY TO OPERATE ACCOUNT 第三者操作帳戶授權書**

To 致: BOCOM INTERNATIONAL SECURITIES LIMITED (“BOCOM”) 交銀國際證券有限公司 (“交銀國際”)

Re 關於: Account Name 帳戶名稱: \_\_\_\_\_ Account Number 帳戶號碼: \_\_\_\_\_

With reference to the aforesaid account maintained by me/us (the “Client(s)”) with your Company (the “Account”), the Client(s) hereby authorize any of the following Authorized Person(s) to give oral or written instructions and sign the documents [including any stocks, stock options contracts and futures trading, holding, settlement, deposit or withdrawal of monies (limited to withdrawal made to bank account(s) in the name of the Client(s) only), corporate actions instructions and other transactions] for and on my/our behalf in relation to the Account with effect from \_\_\_\_\_:

有關本人/吾等 (“客戶”) 在貴司開設之上述戶口 (“戶口”)，客戶等現授權下述任何獲授權人士，代客戶就帳戶發出口頭或書面指示，並且簽署任何文件[只包括任何證券、期貨及期權交易、保管、交收、存款或提款(貴公司只可接受指示提款至本人/吾等名下之銀行帳戶)、企業行動指示及其他指令]，生效日期為\_\_\_\_\_:

Name in English 姓名(英文) : _____	ID/ Passport No. 身份證/ 護照號碼 : _____
Name in Chinese 姓名(中文) : _____	Contact No. 聯絡電話 : _____
Address 地址 : _____	Occupation 職業 : _____

Authorized Person Relationship with the Client 客戶與獲授權人之關係: \_\_\_\_\_

Please provide the reason of third party authorization 請提供第三者授權之原因: \_\_\_\_\_

Number of years Authorized Person know the Client 授權人與客戶認識時間: \_\_\_\_\_ year(s)年

Is the authorized person 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. 獲授權人士是否香港證券及期貨事務監察委員會註冊或持牌人士，或該人士之僱員或董事，或香港金融管理局的有關人士？

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。

No 否  Yes 是 : CE No. 中央編號: \_\_\_\_\_ Name of licensed/registered person 持牌/註冊人士名稱: \_\_\_\_\_

Is the authorized person the ultimate beneficiary owner(s) in relation to the Account? 被授權人是否此帳戶的最終實益擁有人？

No 否  Yes 是 : Reason(s) 原因: \_\_\_\_\_

Any of the Authorized Person shall have authority to act on the Client(s) [including any stocks, stock options contracts and futures trading, holding, settlement, deposit or withdrawal of monies (limited to withdrawal made to bank account(s) in the name of the Client(s) only), corporate actions instructions and other transactions]. The Client(s) agree that your Company may, at your absolute discretion, rely upon and act in accordance with any oral or written instructions given or purported to be given by the Authorized Person. The Client(s) also agree that any such instructions and any documents signed by any of the Authorized Person on the Client(s) behalf shall be deemed to be the Client’s instructions and within the power of such Authorized Person and shall be binding on the Client(s). The Client(s) further agree to be fully responsible for any acts or omissions of the Authorized Person and to keep your Company fully indemnified against all losses or damages which your Company may suffer or incur as a result of such acts or omissions. 每一位獲授權人士代客戶行事[只包括任何證券、期貨及期權交易、保管、交收、存款或提款(貴公司只可接受指示提款至本人/吾等名下之銀行帳戶)、企業行動指示及其他指令]。客戶同意貴公司有絕對酌情權，依從獲授權人士發出或聲稱由獲授權人士發出的任何口授或書面指令行事。客戶亦同意，任何此等指令及由任何獲授權人士代客戶簽署的文件均須視作等同客戶之指令及在該授權人士的權力範圍之內，並對客戶具有約束效力。客戶進一步同意對授權人士之作為或疏忽負上全責，並就貴公司可能因此蒙受或承擔之損失或損害，作出全數彌償。

The Authorized Person hereby signs and declares that he/she accepts such appointment\*\*

獲授權人士在此簽署並特此聲明接受此任命\*\*

Client Signature(s) 客戶簽署

Name 姓名: \_\_\_\_\_

Date 日期: \_\_\_\_\_

Authorized Person Signature 獲授權人士簽署

Name 姓名: \_\_\_\_\_

Date 日期: \_\_\_\_\_

Attachment: Copy of the HKID Card / Passport of the Authorized Person 附件: 獲授權人士之身份證/護照副本

**\*\*If the Authorized Person is a Licensed Corporation, they shall immediately notify BOCOM when there is any change in the licensing status of their authorized person list. 若獲授權人士為持牌法團，一旦持牌法團的授權人士名單上的牌照狀況有任何變動，請立刻通知交銀國際**

Accepted and Confirmed by BOCOM International Securities Limited 交銀國際證券有限公司接受及確認

Authorized Signature 授權簽署

Date 日期:

客戶補充資料 **Client Additional information**

ACCOUNT NAME: \_\_\_\_\_

電子郵件地址: Email Address	
手提電話號碼 Mobile No.:	
本地銀行 Local Bank	(銀行名稱 BANK NAME) (戶口號碼 A/C No.) (貨幣 Cur)
海外銀行 Overseas bank	