

Account No.  
帳戶號碼



寶來證券(香港)有限公司  
**Polaris Securities (Hong Kong) Limited.**

公司客戶開戶表格  
**Account Opening Form**  
for  
**Corporate Account**

To: Polaris Securities (Hong Kong) Limited

致: 寶來證券(香港)有限公司

Account No.  
帳戶號碼

Licensed with the Securities and Futures Commission for Type 1 (dealing in securities); Type 2 (dealing in futures contracts); Type 3 (leveraged foreign exchange trading); Type 4 (advising on securities); Type 5 (advising on futures contracts) and Type 9 (asset management) regulated activities (CE No. ABZ023)  
獲證監會發牌經營: 第一類(證券交易); 第二類(期貨合約交易); 第三類(槓桿式外匯交易); 第四類(就證券提供意見); 第五類(就期貨合約提供意見) 及第九類(提供資產管理)等受規管活動 (CE 編號: ABZ023)  
亦為聯交所之交易所參與者及期交所之期貨代理商  
Room 1003-4, 10/F, Tower 1, Admiralty Centre, 18 Harcourt Road, Hong Kong  
香港夏慤道18號海富中心1座10樓1003-4室

ACCOUNT APPLICATION FORM 帳戶申請表格- For Corporate Account 公司帳戶適用

Note 注意: 1. Please complete in Block Letters and tick where applicable. 請用正楷填寫, 並在適當地方加上剔號。  
2. \*Please delete whichever is not appropriate and mark "N/A" on the unfilled spaces. \*請刪去不適用者, 並在不用者填上"N/A"。

Part I: Account type 甲部: 帳戶類別 (✓one or more) (可✓超過一項):

<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"/> Futures Account 期貨帳戶	<input type="checkbox"/> Leveraged Foreign Exchange Trading Account 槓桿式外匯交易帳戶
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Total number of Account(s) opened 開戶總數:

Cash/Margin/ Leveraged Foreign Exchange Trading Account(s) require e-Service (i.e. mobile phone/touch tone/internet stock trading service)?  
現金/ 保證金/ 槓桿式外匯交易帳戶選用電子交易服務 (即流動電話/ 互動音頻電話/ 互聯網證券交易服務)?

Yes 是  No 否

Part II: Corporate Information 乙部: 公司資料

Company Name 公司名稱: \_\_\_\_\_ Name in Chinese (if any) 中文名稱 (如有): \_\_\_\_\_

Registered no. of country of Incorporation/establishment 註冊/成立國家註冊號碼: \_\_\_\_\_ Country of Incorporation 註冊/成立國家: \_\_\_\_\_  
(Please enclose copy 請附副本)

Nature of Business 業務性質: \_\_\_\_\_ No. of years in the Business 經營業務年期: \_\_\_\_\_ Business registration no. in Hong Kong 香港商業登記號碼: \_\_\_\_\_ Date of Incorporation (day/month/year) 註冊成立日期 (日/月/年): \_\_\_\_\_

Registered Business Address 註冊營業地址: \_\_\_\_\_  
(No P.O. Box Please 請勿填上郵政信箱)

Country 國家: \_\_\_\_\_ Website 網址: <http://> \_\_\_\_\_

Designated Contact 指定聯絡人	Name 姓名	Position 職位	Office Telephone 辦事處電話號碼	Fax 傳真	Email 電郵
1)					
2)					
3)					

Correspondence Address 通訊地址 (if different from above 若與上述地址不同)  
 辦事處地址 Business Address  Other 其他 \_\_\_\_\_

Deliver Combined Daily Statement and Contract Notes to 綜合結單及成交單據送交  
 By mail to Correspondence Address 郵寄至通訊地址  By Internet to the above email address 以互聯網送至以上電郵地址 1 / 2 / 3 \*

Language Selection 語言選擇  
 English  中文

Current Year Company Account Summary 現時公司財務資料摘要 (Year 年度)

Net Profit (Estimate) 經營溢利 (估計)	
Total Assets (Estimate) 總資產 (估計)	
Total Liabilities (Estimate) 總負債 (估計)	
Total Net Asset Value 資產淨值	

Investment Objective and Experience 投資目的及經驗

Investment Objective 投資目的  
 Hedging 對沖  Capital Gain 資本增值  Dividend Income 股息收入  Long Term Growth 長線投資  Others 其他 \_\_\_\_\_

Experience in Products 曾投資產品  
 Shares 股票  Futures 期貨/Options 其權  Forex 外匯/Bullion 黃金  Bonds 債券/Funds 基金  Others 其他 \_\_\_\_\_

Experience in Investment 投資經驗  
 Less than 1 year 小於一年  1-5 Years 年  6-10 Years 年  Over 10 Years 超過十年

Part III: Bank Information 丙部: 往來銀行

Bank Name 銀行名稱	Bank Account No 銀行帳戶	Account Type/Currency 帳戶類別/貨幣
1)		
2)		
3)		

**Part IV: Beneficiary 丁部：最終擁有人**

Name of Ultimate Beneficial Owner(s) of the Account 帳戶最終實益擁有人

- Self 本身
- Other (Please state name and address) 其他(請列明姓名及地址)

Name 名稱: \_\_\_\_\_

Address 地址: \_\_\_\_\_

**Part V: Related Account(s) 戊部：關連帳戶**

1. Is any of the Client's group companies a client of Polaris Group? 客戶之集團公司是否寶來集團客戶?

- Yes 是
- No 否

If Yes, details of Client's group of companies are 如是，客戶之集團公司資料如下：

Name of A/C Holder 帳戶持有人名稱：	A/C No. 帳戶號碼：
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2. Is any shareholder(s) of the client controlled 35% or above of the voting right of the client who maintain(s) account with PSHK?

控制客戶 35%或以上之投票權的股東在寶來香港是否持有戶口?

- Yes 是
- No 否

If Yes, account details of the shareholder(s) are 如是，股東之帳戶資料如下：

Name of A/C Holder 帳戶持有人名稱：	A/C No. 帳戶號碼：
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**Part VI: Other Account(s) 己部：其他帳戶**

Does the Client controlled 35% or above of the voting rights of any client of PSHK? 客戶是否控制寶來證券任何客戶的 35%或以上之投票權。

- Yes 是
- No 否

If Yes, details of Client's related accounts with the company are 如是，客戶於寶來證券持有的其他關連帳戶資料如下：

Account Name 帳戶名稱	Account No 帳戶號碼	Account Type 帳戶類別	Relationship 關係：

**Part VII: Other Disclosure 庚部：其他披露**

Is the Client, Client's director, shareholders or authorized persons, licensed by or registered with the SFC?

客戶、客戶之董事、股東、或授權人是否證監會之持牌或註冊人士?

- Yes 是
- No 否

If Yes, please provide 如是，請提供資料如下：

Name of Licensed/ Registered Person 持牌或註冊人名稱： \_\_\_\_\_

Address of Licensed/ Registered Person 持牌或註冊人地址： \_\_\_\_\_

Consent Letter obtained from employer for the opening of the Account: 是否已接獲其僱主對開立戶口的同意書?  Yes 是  No 否

**Part VIII: Declaration and Signature 辛部：聲明及簽署**

1. I/We confirm that the information given above is correct and complete, and authorize you to confirm this from any source you consider appropriate, including the conduct of any credit checks on me/us.

本人(等)證實上述資料為屬正確及完整，並授權貴公司可向任何方面查證。

2. I/We confirm that I/we have read and understood the Agreement(s) for the securities / futures / leveraged foreign exchange trading account applicable to me/us including the following:

本人(等)證實已參閱及明白有關之證券 / 期貨 / 槓桿式外匯交易帳戶使用條款，包括：

- this Account Application Form 本帳戶申請表
- the Terms and Conditions consisting of: 使用條款及條件包括:
  - Part A – Interpretation 甲部 – 釋義
  - Part B – General Terms 乙部 – 標準條款
  - Part C – Additional Terms Applicable to Respective Accounts 丙部 – 帳戶適用之條款
  - Part D – Risk Disclosure Statements 丁部 – 風險披露聲明
  - Part E – Notes relating to the Personal Data (Privacy) Ordinance 戊部 – 有關香港個人資料(私隱)條例之附註
- the Terms and Conditions of Commodities Futures Trading and the relevant Risk Disclosure Statements and Disclaimers - 商品期貨交易之條款及條件及有關風險披露聲明書及免責聲明
- the Terms and Conditions of Leveraged Foreign Exchange Trading and the relevant Risk Disclosure Statements and Disclaimers - 槓桿式外匯交易帳戶及有關風險披露聲明及免責聲明
- the Terms and Conditions of Risk of Client Assets Received or Held Outside Hong Kong - 在香港以外地方收取或持有的客戶資產的風險披露聲明
- any other supplements which may be entered into in writing between the Company and me/us from time to time, including any letters of authorization relating to securities margin financing. 任何由本人(等)與貴公司不時定立之書面補充條款，包括任何有關證券保證金帳戶之抵押品授權書。

3. I/We hereby accept and agree to be bound by the Agreement(s). You may amend the terms and conditions of the Agreement(s) from time to time by giving me/us notice of such amendment. Unless you have received my/our request to close the account, if I/we continue to use the account I/we shall be deemed to have accepted such changes.

本人(等)特此接納使用條款。貴公司有權於十四日通知期後更改使用條款，除非貴公司收到本人通知取消戶口通知，否則表示本人(等)接納該更改條款。

4. I/We hereby certify, declare and acknowledge that I/we have fully understood the risk disclosure statement in the language of my/our choice. I/We have been invited to read the risk disclosure statement, and to ask questions and take independent advice.

本人(等)現聲明及確認已獲得提供按照本人(等)選擇的語言之風險披露聲明書，本人(等)已獲邀閱讀此風險披露聲明，提出問題及徵求獨立意見。

5. I/We understand that the account is subject to your final acceptance.

本人(等)明白貴公司有最終接納開戶與否之權利。

Signed by 簽署:

Accepted by  
For and on behalf of Polaris Securities (Hong Kong) Ltd.  
由 寶來證券(香港)有限公司 接納

X

Authorized Signature 授權簽名  
(with Company Chop 附公司圖章)

Authorized Signature 授權簽名

Date 日期:

**Client Authorization (If applicable) 客戶授權 (如適用)**

The Client hereby authorizes the following person(s) to operate the relevant Account(s) with the relevant powers as set out below:  
 客戶特此授權下列人士運作有關帳戶，並具有下列載之權力：

**(i) Trading Authorization:**

<b>Authorized Signature 授權簽署</b>     Name 姓名: HKID/Passport No. 香港身份證/護照號碼:	<b>X</b>	<b>Authorized Signature 授權簽署</b>     Name 姓名: HKID/Passport No. 香港身份證/護照號碼:	<b>X</b>	<b>Authorized Signature 授權簽署</b>     Name 姓名: HKID/Passport No. 香港身份證/護照號碼:	<b>X</b>
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Any \_\_\_\_\_ of the above may sign and effect securities and/or futures and/or leveraged foreign exchange transaction(s).  
 上述任何 \_\_\_\_\_ 人士可簽署及進行證券及/或期貨及/或槓桿式外匯交易。

**(ii) Settlement Authorization:**

<b>Authorized Signature 授權簽署</b>     Name 姓名: HKID/Passport No. 香港身份證/護照號碼:	<b>X</b>	<b>Authorized Signature 授權簽署</b>     Name 姓名: HKID/Passport No. 香港身份證/護照號碼:	<b>X</b>	<b>Authorized Signature 授權簽署</b>     Name 姓名: HKID/Passport No. 香港身份證/護照號碼:	<b>X</b>
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Any \_\_\_\_\_ of the above may sign and effect securities and/or futures and/or leveraged foreign exchange transaction(s).  
 上述任何 \_\_\_\_\_ 人士可簽署及進行證券及/或期貨及/或槓桿式外匯交易。

With respect to the above authorized persons / signatories, PSHK 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).  
 就上述授權人士/簽署人而言，寶來證券有權假定任何上述有關人士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。

**Risk Disclosure Statement 風險披露聲明 (to be completed by the Company 由本公司填寫)**

The abovementioned risk disclosure statement(s) has/have been provided to the client in a language of the Client's choice and the undersigned registered person of the company has invited the client to read the same, ask questions and take independent advice.  
 上述之風險披露聲明已由下列簽署之註冊人員按照客戶選擇的語言提供，並邀請客戶閱讀該/該等風險披露聲明，提出問題及徵求獨立意見。

Face to Face 面對面     Telephone 電話 \_\_\_\_\_

Recorded Line No. 電話錄音號碼 \_\_\_\_\_  
Time 時間 \_\_\_\_\_

Name of Registered Person 註冊人姓名	CE No. CE 號碼	Signature of Registered Person 註冊人簽署	Date 日期
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**For Official Use Only 供內部填寫**

For Securities Transactions 如屬證券買賣：

Account introduced by 介紹人	Name and code of AE 客戶主任姓名及編號	How long known to AE 與客戶主任認識時間	Signature of AE 客戶主任簽名
Market 市場	Commission Rate (%) 佣金率 (%)	Rebate Rate Basis (%) 回扣率 (%)	Commission Retained by A.E. 客戶主任留存佣金
Hong Kong Stock 香港股份			Proposed Trading Limit 建議交易上限 HKD/USD* 港元/美元*
Taiwanese Stock 臺灣股份			
China B shares 中國 B 股			
Others 其他			

For Futures Transactions 如屬期貨買賣：

	Day Trade (each way) 即日買賣 (每方)	Normal Trade (each way) 正常買賣 (每方)
Futures / Options Contracts 期貨/期權合約		
Futures (per contract per side) 期貨(每合約每方)		
Options (% of contract value) 期權 (佔合約價值之%)		

For Leveraged Foreign Exchange Trading 如屬槓桿式外匯交易買賣：

Account introduced by 介紹人	Name and code of AE 客戶主任姓名及編號	How long known to AE 與客戶主任認識時間	Signature of AE 客戶主任簽名
Commission rate 佣金收費	<input type="checkbox"/> Local charge 公司收費	<input type="checkbox"/> Overseas charge 海外收費	

Special Considerations & Comments 特別考慮因素及意見:

**Checklist 核對清單**

<input type="checkbox"/> Certified true copy of Certificate of Incorporation (required) 核証公司註冊証副本(必須) <input type="checkbox"/> Certified true copy of Memorandum & Articles of Association (required) 核証公司章程副本(必須) <input type="checkbox"/> Certified true copy of latest Audited Financial Statement (required) 最近期經審核財務報表(必須) <input type="checkbox"/> Address proof within last 3 months (required) 最近三個月內之地址證明(必須) <input type="checkbox"/> Certified true copy of Annual Return/Form D1 (required) 核証公司註冊處董事資料週年報表/表格 D1 副本(必須) <input type="checkbox"/> Board Resolution (required) 董事會決議案(必須) <input type="checkbox"/> Mandate Letter (required) 委任獲授權人任授權書(必須) <input type="checkbox"/> Signed ID Copy of each authorized person (required) 所有獲授權人之已簽署身份證(必須) <input type="checkbox"/> Directors Guarantee (required) 董事擔保書(必須)	<b>Compliance Officer</b> 監察主任	<b>Dealing Director</b> 交易董事	<b>Managing Director (if needed)</b> 董事總經理
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Please note that the new account will not be activated until the cheque has cleared.  
 請注意除非支票已獲得結算，否則新設立帳戶將不能使用。

Input By:	Check By:	Archived By:	Archived Check by:
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**< Must be signed by Margin Client >**

To: Polaris Securities (Hong Kong) Limited  
Room 1003-4, 10/F, Tower1, Admiralty Centre,  
18 Harcourt Road, Hong Kong

Dear Sirs,

**Authorisation to dispose of, lend or deposit securities and/or securities collateral under the Securities and Futures (Client Securities) Rules**

This letter of authorisation covers all the securities that are either listed or traded on The Stock Exchange of Hong Kong Limited (the "SEHK") or are interests in a collective investment scheme authorised by the Securities and Futures Commission (the "SFC") of which I/we am/are the beneficial owner(s), which are received or held in Hong Kong by or on behalf of you or your associated entity to facilitate the provision of financial accommodation by you (the "Securities Collateral") and/or are in relation to the conduct of dealing in securities and which do not constitute securities collateral (the "Securities").

Without prejudice and in addition to any general lien, right of set-off or any other similar right to which you may be entitled by law or under the Agreement entered into between us on \_\_\_\_\_ I/we hereby authorise you to dispose of any of the Securities or/and Securities Collateral to the extent required to settle any liability owed by me/us to you, your associated entity or a third person.

I/We hereby additionally authorise you to deal with the Securities and/or Securities Collateral in the following ways:

1. to apply any of the Securities and/or Securities Collateral pursuant to a securities borrowing and lending agreement;
2. to deposit the Securities Collateral with an authorised institution as defined in the Banking Ordinance (Cap. 155 of the Laws of Hong Kong) as collateral for financial accommodation provided to you; and
3. to deposit the Securities Collateral with a recognised clearing house (e.g. Hong Kong Securities Clearing Company Limited) or another intermediary licensed or registered for dealing in securities as collateral for the discharge and satisfaction of your settlement obligations and liabilities.

You may perform any of the above without prior notice to me/us. This letter does not cover the treatment of:

- (a) any securities or securities collateral that are held or received outside Hong Kong;
- (b) any securities or securities collateral that not listed nor traded on the SEHK; nor
- (c) any interests in a collective investment scheme not authorised by the SFC.

Those securities and securities collateral shall be dealt with according to the laws and regulations of the relevant jurisdiction where they are received or held.

The authority given in this letter of authorisation does not cover any consideration which I/we may pay or be paid for the lending or borrowing of securities by you. Such consideration shall be set by a separate agreement between us.

You are accountable to me/us for the return of any of the Securities or Securities Collateral lent or deposited under this authorisation.

I/We understand that the Securities and/or Securities Collateral may be subject to liens or lawful claims of third parties and return of such Securities and/or Securities Collateral to me/us may be subject to satisfaction of such liens.

The authority given to you under this letter of authorisation shall be valid for a period of 12 months from the date of this letter unless revoked by me/us by written notice given by me/us to you. Such notice of revocation shall take effect 7 business days after receipt by you.

The contents of this letter of authorisation have been fully explained to me/us and I/we understand them.

Yours faithfully,

\_\_\_\_\_  
Date: \_\_\_\_\_ 200\_\_

## 【保證金客戶必須簽署】

致： 寶來證券(香港)有限公司  
香港夏慤道 18 號海富中心 1 座 10 樓 1003-4 室

敬啟者：

### 根據證券及期貨（客戶證券）規則有關出售，借出或存放證券及/或證券抵押品的授權

本授權書包涵所有本人/吾等實益擁有而在香港聯合交易所有限公司（“聯交所”）上市或交易之證券及為香港證券及期貨事務監察委員會（“證監會”）認可之集體投資計劃的權益，並且被貴公司或貴公司的聯繫實體在港收取或持有為提供財務通融之抵押品（“證券抵押品”）及/或就證券交易所收取或持有但並非構成證券抵押品之證券（“證券”）。

在不損害貴公司依法或根據本人/吾等在\_\_\_\_\_簽訂之合約而就本人/吾等之證券交易帳戶擁有的任何留置權、抵銷權或任何其他類似權利的情況下，本人/吾等授權貴公司處置或出售部份或全部在本人/吾等帳戶之證券或證券抵押品以清償任何本人/吾等向貴公司，貴公司之聯繫實體或第三者所欠之債務。

本人/吾等額外授權貴公司根據以下條款處置證券及/或證券抵押品：

1. 依據證券借貸協議運用任何證券或證券抵押品;
2. 將任何證券抵押品存放於一間認可機構（根據《銀行業條例》（香港法例第 155 章）之定義），作為提供予貴公司的財務通融的抵押品; 及
3. 存放證券抵押品於認可結算所（如香港中央結算有限公司）或另一獲發牌或註冊進行證券交易的中介人作為解除寶來證券在交收上的義務和清償寶來證券在交收上的法律責任。

貴公司可無須事先通知本人/吾等執行以上任何事情。本授權書並不包涵以下證券或證券抵押品的處理方式：

- a) 任何在香港以外收取或持有之證券或證券抵押品;
- b) 任何並非在聯交所上市或交易之證券或證券抵押品; 及
- c) 任何並非證監會認可之集體投資計劃的權益。

該等證券及證券抵押品將根據在其收取或持有之有關海外地區的法律及規則處理。

本授權書不涉及就貴公司借貸本人/吾等之任何證券或證券抵押品而須支付或收取的任何代價。該等代價均須由本人/吾等與貴公司另行協議訂明。

貴公司仍需就根據本授權書貸出或存放的證券或證券抵押品的歸還向本人/吾等負責。

本人/吾等明白證券或證券抵押品可能受制於第三者之留置權或合法索償，貴公司須於全數抵償該等留置權後，方可將證券或證券抵押品退回本人/吾等。

本授權書所給予貴公司之授權的有效期為十二個月，除非本人/吾等提供書面通知予貴公司要求取消本授權。該等取消通知書將在貴公司收妥後 7 天方作生效。

本授權書的內容已全部向本人/吾等徹底解釋，而本人/吾等亦明白本授權書的內容。

簽署

日期:\_\_\_\_\_