Internal Use 內部專用

Account Name: ______________________________ **Account Number:** ____________________

Dingxin (Securities) Limited
鼎鑫（證券）有限公司

CE No. 中央編號：**BOS734**

Account Opening Form
開戶書

Cash Account / Margin Account
現金客戶 / 孖展（保證金）客戶

Individual Account / Joint Account / Corporate Account
個人客戶 / 聯名客戶 / 公司客戶

This is an important document. You are advised to seek legal and professional advices on its legal effect and consequences before signing.
這是重要文件。請客戶在未簽署前諮詢法律及專業意見瞭解其法律作用及後果。

Address: 1301-2A, FWD Financial Centre, 308 Des Voeux Road Central, Sheung Wan, HK
地址：香港上環德輔道中 308 號富衛金融中心 1301-2A 室
Email Address: 電郵地址：cs@dingxinsec.com
Website: 網址：www.dingxinsec.com
Telephone No.: 電話號碼：2115 2013
Fax No.: 傳真號碼：2110 8539

Account Opening Check List
開戶文件核對表

Please fill the following relevant parts for each particular type of account 請完成下列帳戶類別的相關部份

Internal Use 內部專用			*Yes*	*Follow-up*
Individual Account 個人客戶	**Cash Account 現金客戶**	I 1, I 2, I 3, I 4, III 1, III 2, III 3, III 4, III 5, III 8, III 9, III 10, III 11, III 12, III 13		
	Margin Account 孖展（保證金）客戶	I 1, I 2, I 3, I 4, III 1, III 2, III 3, III 4, III 5, III 7, III 8, III 9, III 10, III 11, III 12, III 13		
Joint Account 聯名客戶	**Cash Account 現金客戶**	I 1, I 2, I 3, I 4, I 5, III 1, III 2, III 3, III 4, III 5, III 8, III 9, III 10, III 11, III 12, III 13		
	Margin Account 孖展（保證金）客戶	I 1, I 2, I 3, I 4, I 5, III 1, III 2, III 3, III 4, III 5, III 7, III 8, III 9, III 10, III 11, III 12, III 13		
Corporate Account 公司客戶	**Cash Account 現金客戶**	II 1, II 2, II 3, II 4, III 1, III 2, III 3, III 4, III 5, III 8, III 9, III 10, III 11, III 12, III 13		
	Margin Account 孖展（保證金）客戶	II 1, II 2, II 3, II 4, III 1, III 2, III 3, III 4, III 5, III 7, III 8, III 9, III 10, III 11, III 12, III 13		
Electronic Trading Service 電子交易服務		III 6		

Internal Use 內部專用		*Yes*	*Follow-up*
☐ **Basic Documents 基本文件**	Account Opening Form 開戶書		
	ID Card / Passport Copy 身份證 / 護照副本		
	Proof of Address（within 3 months）地址證明（三個月內）		
☐ **For Sole Proprietor 全東公司**	Certified Copy of Valid Business Registration Certificate 有效商業登記證認證副本		
	Business Registration Search 商業登記證查冊		
☐ **For Partnership 合夥公司**	Certified Copy of Partnership Resolution for Open Account 合夥公司開戶決議認證副本		
	Certified Copy of Valid Business Registration Certificate 有效商業登記證認證副本		
	Business Registration Search 商業登記證查冊		
☐ **For Limited Company 有限公司**	Certified Copy of Board Resolution for Opening Account 董事開戶決議認證副本		
	Certified Copy of Valid Business Registration Certificate 有效商業登記證認證副本		
	Certified Copy of Certificate of Incorporation 公司註冊證書認證副本		
	Certified Copy of the Memorandum & Articles of Association of the Company 公司組織大綱及章程認證副本		
	Certified Copy of Audited Accounts for the latest financial years 最近財政年度已經審核之帳目認證副本		
	Certified Copy of Latest Annual Return (Form NAR1) 最近一期周年申報表（表格 NAR1）認證副本		
	Certified Copy of Latest Notification of Change of Secretary and Director (Appointment / Cessation) (Forms ND2A, ND2B, ND4) 最近的秘書及董事更改通知書（委任 / 離任）表格（ND2A、ND2B、ND4）認證副本		
	Certified Copy of ID / Passport of ALL Director(s), Authorized Person and Ultimate Beneficial Owner(s) of the Account 所有董事、授權人士及帳戶最終受益人之身份證 / 護照認證副本		
	Organizational Chart (if applicable) 公司架構圖（如適用）		
	Additional for Overseas or Non-Hong Kong Company 海外或非香港公司附加證明文件		
	Certified Copy of Certificate of Incumbency from the Registrar of companies of the country of incorporation 海外公司註冊官簽發的職責證明書認證副本（Certificate of Incumbency）		
	Certified Copy of Shareholders and Directors Registers 股東名單及董事名單認證副本		
☐ **Optional 供選擇附件**	Online Trading Agreement 網上交易協議書		
☐ **Other 其他**	Please specify: 請註明：________________		
Remarks 註明	For non face-to-face client: 非面對面開戶的客戶： – Identity documents are certified by any other licensed person, staff of Dingxin (Securities), a JP or a branch manager of a bank, CPA, lawyer or notary public; OR 由其他持牌人、鼎鑫（證券）的員工、太平紳士或專業人士、銀行分行經理、執業會計師、律師或公證人加以驗證身分證明文件；或 – Transfer of Fund from client's bank A/C to Dingxin (Securities)'s bank A/C; OR 由客戶的銀行帳戶轉帳至鼎鑫的銀行帳戶；或 – Personal cheque received and cheque copy retained issued from a licensed bank in Hong Kong 在香港持牌銀行開立的帳戶所簽發的支票 ✓ Cheque amount not less than HK$ 10,000 and bearing the client's name 該支票的數額不得少於 10,000 港元，並須載有該客戶在身分證明檔上所顯示的姓名 ✓ Same signature as on cheque and as on Account Opening Form 必須與上述客戶協定的簽名相符 ✓ Cheque is cleared 將有關支票兌現		

Internal Use 內部專用		
Trading Limit (if applicable) 交易限額（如適用）	**Brokerage 佣金**	
Cash Account 現金帳戶	Normal Charges 一般收費	Internet Charges 網上收費
	Brokerage (%): 佣金（%）：	Brokerage (%): 佣金（%）：
	Min. (HKD): 最低（港元）：	Min. (HKD): 最低（港元）：
Margin Account 孖展（保證金）帳戶	Brokerage (%): 佣金（%）：	Brokerage (%): 佣金（%）：
	Min. (HKD): 最低（港元）：	Min. (HKD): 最低（港元）：
Account Officer: 客戶主任：	Client known to Account Officer: 與客戶主任相識年期：	Introduced by: 介紹人：
Documentation Checked by: 文件查核：	Approved by: 核准：	Date: 日期：

I – For Individual / Joint Account 個人 / 聯名帳戶適用

☐	I agree to apply for an Individual Cash Account. 本人同意申請 個人現金 帳戶。
☐	I agree to apply for an Individual Margin Account. 本人同意申請 個人孖展（保證金） 帳戶。
☐	We agree to apply for a Joint Cash Account. 吾等同意申請 聯名現金 帳戶。
☐	We agree to apply for a Joint Margin Account. 吾等同意申請 聯名孖展（保證金） 帳戶。
☐	I / We DO agree to apply for the electronic trading service 本人 / 吾等 同意 申請電子交易。

1. Account Holders Information 帳戶持有人資料

	(a) Primary Account Holder 主要帳戶持有人				(b) Secondary Account Holder 第二帳戶持有人			
Client Name (English) 客戶姓名（英文）	(Mr. / Ms. / Mrs. / Miss.)				(Mr. / Ms. / Mrs. / Miss.)			
Client Name (Chinese) 客戶姓名（中文）	（先生 / 女士 / 太太 / 小姐）				（先生 / 女士 / 太太 / 小姐）			
Are you a U.S. citizen or resident? (Note) 客戶是否美國公民或居民?（註）	☐ No 否		☐ Yes 是		☐ No 否		☐ Yes 是	
Nationality (Note) 國籍（註） Please fill in **ALL** Nationality 請填上 **所有** 國籍								
I.D. Card / Passport No. (Note) 身份證或護照號碼（註）								
Issuing Country 簽發國家								
Date of Birth (DD / MM / YY) 出生日期（日 / 月 / 年）			Gender 性別				Gender 性別	
Place of Birth 出生地點			Marital Status 婚姻狀況				Marital Status 婚姻狀況	
Residential Address (Note) 住宅地址（註） (PO Box not allowed) （不接受郵政信箱）								
	Country 國家		Postal Code 郵政編號		Country 國家		Postal Code 郵政編號	
Home Tel. No. 住宅電話								
Mobile No. (Note) 手提電話（註）								
Fax No. (Note) 傳真（註）								
E-mail Address 電郵地址								
Relationship with Primary Account Holder (a) 與主要帳戶持有人 (a) 的關係					☐ Immediate family (Please specify): 直系親屬（請註明）： ____________________ ☐ Relatives 親屬 ☐ Friends 朋友 ☐ Others: 其他： ________________________			

2. Financial Information 財務資料

(a) Primary Account Holder 主要帳戶持有人	(b) Secondary Account Holder 第二帳戶持有人
(i) **Financial Position 財務狀況** **Annual Income (in HK$) 每年收入（港元）：** ☐ ≤ $ 200,000 ☐ $ 200,001 - $ 500,000 ☐ $ 500,001 - $ 1,000,000 ☐ $ 1,000,001 - $ 5,000,000 ☐ > $ 5,000,000 **Source of Income 收入來源：（Multiple answers allowed 可選多項）** ☐ Salary 薪金 ☐ Commission 佣金 ☐ Rent 租金 ☐ Business Profit 商業利潤 ☐ Investment profit 投資利潤 ☐ Dividend 股息 ☐ Interest 利息 ☐ N/A 不適用 ☐ Others: 其他：________________________ **Net Asset Value (in HK$) 資產淨值（港元）** ☐ ≤ $ 200,000 ☐ $ 200,001 - $ 1,000,000 ☐ $ 1,000,001 - $ 5,000,000 ☐ $ 5,000,001 - $ 8,000,000 ☐ > $ 8,000,000 **Source of Fund 資金來源（Multiple answers allowed 可選多項）** ☐ Investment gain 投資獲利 ☐ Salary 薪金 ☐ Family 家人 ☐ Inheritance 遺產繼承 ☐ Others 其他 ______________ **Country(ies) of Source of Fund 資金來源地** **（Multiple answers allowed 可選多項）** ☐ Hong Kong 香港 ☐ Mainland China 中國內地 ☐ United States 美國 ☐ Others 其他 ______________	(i) **Financial Position 財務狀況** **Annual Income (in HK$) 每年收入（港元）：** ☐ ≤ $ 200,000 ☐ $ 200,001 - $ 500,000 ☐ $ 500,001 - $ 1,000,000 ☐ $ 1,000,001 - $ 5,000,000 ☐ > $ 5,000,000 **Source of Income 收入來源：（Multiple answers allowed 可選多項）** ☐ Salary 薪金 ☐ Commission 佣金 ☐ Rent 租金 ☐ Business Profit 商業利潤 ☐ Investment profit 投資利潤 ☐ Dividend 股息 ☐ Interest 利息 ☐ N/A 不適用 ☐ Others: 其他：________________________ **Net Asset Value (in HK$) 資產淨值（港元）** ☐ ≤ $ 200,000 ☐ $ 200,001 - $ 1,000,000 ☐ $ 1,000,001 - $ 5,000,000 ☐ $ 5,000,001 - $ 8,000,000 ☐ > $ 8,000,000 **Source of Fund 資金來源（Multiple answers allowed 可選多項）** ☐ Investment gain 投資獲利 ☐ Salary 薪金 ☐ Family 家人 ☐ Inheritance 遺產繼承 ☐ Others: 其他：______________ **Country(ies) of Source of Fund 資金來源地** **（Multiple answers allowed 可選多項）** ☐ Hong Kong 香港 ☐ Mainland China 中國內地 ☐ United States 美國 ☐ Others 其他 ______________
(ii) **Ownership of Residence 住屋業權（Multiple answers allowed 可選多項）** ☐ Owned 自置 ☐ With Parents 與父母同住 ☐ Mortgaged / Monthly Instalment 按揭 / 每月供款（HK$ 港元）________ ☐ Rented / Monthly Rental 租用 / 每月租金（HK$ 港元）__________ ☐ Others 其他 ______________	(ii) **Ownership of Residence 住屋業權（Multiple answers allowed 可選多項）** ☐ Owned 自置 ☐ With Parents 與父母同住 ☐ Mortgaged / Monthly Instalment 按揭 / 每月供款（HK$ 港元）________ ☐ Rented / Monthly Rental 租用 / 每月租金（HK$ 港元）__________ ☐ Others 其他 ______________

3. Employment Status 工作狀況

	(a) Primary Account Holder 主要帳戶持有人	(b) Secondary Account Holder 第二帳戶持有人
Employment Status 工作狀況	☐ Employed 受僱 ☐ Self-employed 自僱 ☐ Unemployed 非受僱	☐ Employed 受僱 ☐ Self-employed 自僱 ☐ Unemployed 非受僱
Occupation / Business Nature 職業 / 業務性質		
Job Title 職位		
Years of Service 服務年資	☐ Below 3 years 少於 3 年 ☐ 3 years to 10 years 3 年至 10 年 ☐ Above 10 years 多於 10 年	☐ Below 3 years 少於 3 年 ☐ 3 years to 10 years 3 年至 10 年 ☐ Above 10 years 多於 10 年
Name of Employer 僱主名稱		
Business Address (Note) 公司地址（註）	 Country 國家 ____ Postal Code 郵政編號 ____	 Country 國家 ____ Postal Code 郵政編號 ____
Office Tel. No. (Note) 辦公室電話（註）		
Fax No. (Note) 傳真（註）		

4. Declaration by Client 客戶聲明

(a) Primary Account Holder 主要帳戶持有人

(i) **Are you a SFC or a HKMA licensed or registered person or an employee of such person?**
客戶是否證監會或金管局之持牌或註冊人士或該人士之僱員？
☐ No 否
☐ Yes, please specify, 是，請註明，
CE No.: 中央編號： ____________________

(ii) **Are you related to any employee or director or licensed person of Dingxin (Securities) Ltd and its subsidiaries?**
客戶是否與鼎鑫（證券）有限公司及其附屬公司之僱員 / 董事 / 持牌人士有任何關係？
☐ No 否
☐ Yes, please specify, 是，請註明，
Name of the employee / director / licensed person:
僱員 / 董事 / 持牌人士姓名： ____________________
Relationship: 關係：____________________

(iii) **Does your spouse have a margin account with Dingxin (Securities) Ltd?**
客戶之配偶是否持有鼎鑫（證券）有限公司的孖展（保證金）帳戶？
☐ No 否
☐ Yes, please specify, 是，請註明，
Name of Spouse: 配偶之姓名：____________________
Account No.: 帳戶號碼：____________________

(iv) **Do you control, either alone or with your spouse, 35% or more of the voting rights of another margin client of Dingxin (Securities) Ltd?**
客戶是否單獨或與配偶共同控制鼎鑫（證券）有限公司其他孖展（保證金）客戶之百分之三十五或以上的投票權？
☐ No 否
☐ Yes, please specify, 是，請註明，
Account Name: 帳戶名稱：____________________
Account No.: 帳戶號碼：____________________

(v) **Are you an existing client of the Company?**
客戶是否本公司之現有客戶？
☐ No 否
☐ Yes, please specify, 是，請註明，
Account Name: 帳戶名稱：____________________
Account No.: 帳戶號碼：____________________
Reason 原因：____________________

(b) Secondary Account Holder 第二帳戶持有人

(i) **Are you a SFC or a HKMA licensed or registered person or an employee of such person?**
客戶是否證監會或金管局之持牌或註冊人士或該人士之僱員？
☐ No 否
☐ Yes, please specify, 是，請註明，
CE No.: 中央編號： ____________________

(ii) **Are you related to any employee or director or licensed person of Dingxin (Securities) Ltd and its subsidiaries?**
客戶是否與鼎鑫（證券）有限公司及其附屬公司之僱員 / 董事 / 持牌人士有任何關係？
☐ No 否
☐ Yes, please specify, 是，請註明，
Name of the employee / director / licensed person:
僱員 / 董事 / 持牌人士姓名：____________________
Relationship: 關係：____________________

(iii) **Does your spouse have a margin account with Dingxin (Securities) Ltd?**
客戶之配偶是否持有鼎鑫（證券）有限公司的孖展（保證金）帳戶？
☐ No 否
☐ Yes, please specify, 是，請註明，
Name of Spouse: 配偶之姓名：____________________
Account No.: 帳戶號碼：____________________

(iv) **Do you control, either alone or with your spouse, 35% or more of the voting rights of another margin client of Dingxin (Securities) Ltd?**
客戶是否單獨或與配偶共同控制鼎鑫（證券）有限公司其他孖展（保證金）客戶之百分之三十五或以上的投票權？
☐ No 否
☐ Yes, please specify, 是，請註明，
Account Name: 帳戶名稱：____________________
Account No.: 帳戶號碼：____________________

(v) **Are you an existing client of the Company?**
客戶是否本公司之現有客戶？
☐ No 否
☐ Yes, please specify, 是，請註明，
Account Name: 帳戶名稱：____________________
Account No.: 帳戶號碼：____________________
Reason 原因：____________________

5. Arrangement by Joint Account Holders 聯名帳戶持有人安排 (Applicable to Joint Account Clients only 只適用於聯名帳戶之客戶)

Please read Section E - Joint Account Holders Agreement of the Client's Agreement before completing this part.
在填寫本部份前，請先閱客戶協議書內 E 部份 － 聯名帳戶持有人專用附錄。

We hereby state that the Clients are: 我們特此聲明客戶為：

☐ Joint Tenants 聯權共有人 ☐ Tenants in common 分權共有人

Primary Account Holder 主要帳戶持有人： __________% Secondary Account Holder 第二帳戶持有人： __________%

☐ We hereby nominate any one of the account holders as the sole person(s) authorized to act for us with respect to any account dealing instructions on our behalf. Any such nomination may be revoked and any other person may be nominated in substitution therefore or addition thereto by all of the undersigned by notice in writing to Dingxin (Securities) Ltd.
我們特此推舉客戶中任何一位帳戶持有人為唯一授權人，並負責主理一切帳戶交易事宜。此項任命可由全體一致決定，以書面通知鼎鑫(證券)有限公司或另行委託他人接管。

Any written instruction relating to the operation and payment of the account should be valid with 任何就帳戶運作及帳戶款項之書面指示：

☐ **ANY ONE** of the joint account holders signing singly 只需 **其中一位** 聯名帳戶持有人單獨簽署，便為有效。

☐ **ALL** joint account holders signing jointly 需要 **所有** 聯名帳戶持有人共同簽署，方為有效。

II – For Corporate Account 公司帳戶適用

☐	We agree to apply for a Corporate Cash Account. 吾等同意申請公司 現金 帳戶。
☐	We agree to apply for a Corporate Margin Account. 吾等同意申請公司 孖展（保證金） 帳戶。
☐	We agree to apply for the electronic trading service 吾等同意申請電子交易。

1. Corporate Information 公司帳戶資料

Client Name(s) 客戶名稱			
Client's Trading Name (if different) 客戶經營名稱（如與上述不同）			
Nature of Client's Business 客戶業務性質		Number of years in Business 業務經營年期	
Business Registration No. 商業登記號碼		Place of Incorporation (Note) 註冊地點（註）	
Date of Incorporation (DD / MM / YY) 註冊成立日期（日 / 月 / 年）		Registration No. of Incorporation 公司註冊證編號	
Registered Address (Note) 註冊地址（註）		Business Address (Note) (If different from the above) (PO Box not allowed) 公司位址（註）（如與上述位址不同） （不接受郵政信箱）	
Office Tel. No. (Note) 辦公室電話（註）		Office Fax (Note) 辦公室傳真（註）	
E-mail Address 電郵地址			
Type of Company 公司類別	☐ Listed Company 上市公司 ☐ Private Company 私人公司 ☐ Sole Proprietorship 獨資經營 ☐ Partnership 合夥經營 ☐ Other 其他 ______		

Particulars of the Company's Ultimate Beneficial Owner(s) 公司最終實益擁有人詳情 (not applicable to public listed companies 上市公司不用填寫)
The individuals who hold 10% or more of the ultimate beneficial interest of the Company 擁有百分之十或以上的公司最終權益擁有人

Name 姓名	I.D. Card / Passport No. (Note) 身份證/護照號碼（註）	Tel. No. (Note) 電話號碼（註）	Nationality (Note) 國籍（註） Please fill in **ALL** Nationality 請填上 所有 國籍	Place of Birth (Note) 出生地點（註）	Address (Note) 地址（註）	% holding 持有百分比	Listed Company 上市公司
					Postal Code: 郵政編號：		☐ Yes 是 ☐ No 否

***If the space is insufficient, please continue on a separate sheet(s) and attach it / them to the account opening form. *若空格不敷應用，請另加新頁續寫資料，然後夾附於開戶表。**

Particulars of the company directors and authorized persons 董事和獲授權人仕詳情

Name 姓名	Role 身份	I.D. Card /Passport No. 身份證/護照號碼	Tel. No. 電話號碼	Address (Note) 地址（註）
	☐ Company director 公司董事 ☐ Authorized person 獲授權人仕			Postal Code: 郵政編號：
	☐ Company director 公司董事 ☐ Authorized person 獲授權人仕			Postal Code: 郵政編號：

***If the space is insufficient, please continue on a separate sheet(s) and attach it / them to the account opening form. *若空格不敷應用，請另加新頁續寫資料，然後夾附於開戶表。**

2. Financial Information 財務資料

(i) **Annual Turnover (in HK$) 每年營業額（港元）：**
☐ ≤ $200,000 ☐ $200,001 - $1,000,000 ☐ $1,000,001 - $5,000,000 ☐ $5,000,001 - $10,000,000 ☐ > $10,000,001

(ii) **Net Asset Value (in HK$) 資產淨值（港元）：** ☐ ≤$500,000 ☐ $500,001 - $1,000,000 ☐ $1,000,001 - $5,000,000 ☐ $5,000,001 - $40,000,000 ☐ > $40,000,001

(iii) **Source of Fund: 資金來源：（Multiple answers allowed 可選多項）**
☐ Investment gain 投資獲利 ☐ Business Profit 業務盈利 ☐ Shareholders loan 股東貸款 ☐ Other 其他 ______________________________

(iv) **Authorized Capital: 法定股本：**______________________________ (v) **Paid-up Capital: 繳足股本：**______________________________

(vi) **Profit after taxation for the latest financial year: 最近財政年度之稅後盈利：**______________________________

3. Disclosure of Related Account(s) 關連帳戶資料之披露

(i) **Are any of your directors, shareholders or authorized persons licensed by or registered with the SFC or the HKMA or an employee of a licensed / registered person?**
貴公司之股東、董事、獲授權人仕是否證監會或金管局之持牌人 / 註冊人或其僱員？
☐ No 否 ☐ Yes, 是，please specify the CE No.: 請註明其中央編號：______________________________

(ii) **Are any of your directors, shareholders or authorized persons related to any employee or director or licensed person of Dingxin (Securities) Ltd and its subsidiaries?**
貴公司之股東、董事、獲授權人仕是否與鼎鑫（證券）有限公司集團及其附屬公司之僱員 / 董事 / 持牌人士有任何關係嗎？
☐ No 否 ☐ Yes, 是，please specify his / her name: 請註明該人士的姓名：______________________ Relationship: 關係：______________

(iii) **Are any director, shareholder or authorized person of the of your group companies or related companies a margin client of Dingxin (Securities) Ltd?**
貴集團旗下之任何公司或相關公司，以及其董事、股東或授權人士是否鼎鑫（證券）有限公司之現有孖展（保證金）客戶？
☐ No 否 ☐ Yes, 是，please specify the account name: 請註明其帳戶名稱：______________________ Account No.: 帳戶號碼：______________

(iv) **Are you an existing client of the Company? 客戶是否本公司之現有客戶？**
☐ No 否 ☐ Yes, 是，please specify the account name: 請註明其帳戶名稱：______________________ Account No.: 帳戶號碼：______________

(v) **Has the company or any of the directors been subjected to bankruptcy or insolvency proceedings? 貴公司或其董事是否曾經破產或受破產訴訟？**
☐ No 否 ☐ Yes 是

(vi) **Is the Client licensed by or registerd with the Securities and Futures Commission or the Hong Kong Monetary Authority?**
貴公司是否為香港證監會或金管局的持牌法團？
☐ No 否 ☐ Yes, 是，please specify the CE No.: 請註明其中央編號：______________________________

(vii) **Is the Client acting as an intermediary for the account? 客戶是否以仲介人身份操作帳戶？**
☐ No 否 ☐ Yes, 是，please specify the name of the Ultimate Beneficial Owner(s): 請註明帳戶最終實益擁有人：______________________

4. Board Resolutions 董事會決議

______________________________ *(Name of Client)* (the "**Company**") certified true extracts of resolution(s) passed by the board (the "**Board**") of directors (the "**Directors**") of the Company on __________ *(Date)* held at ______________________________ *(Address)*

______________ *（客戶名稱）*（下稱「**本公司**」）於 ________ *（日期）* 在 ______________________________ *（地址）*
舉行的公司董事（下稱「**董事**」）會（下稱「**董事會**」）所通過決議之核證真實摘要。

Opening Account(s) with DingXin (Securities) Limited
於鼎鑫（證券）有限公司開立戶口

I / We hereby certify that the following is a true and correct copy of the resolution(s) validly passed and adopted by the Board at a duly convened meeting of the Company at which a quorum was present and acted throughout in accordance with the Articles of the Company and have been duly recorded in the Minutes Book of the Company without amendment and that the same are now in full force and effect.
本人（吾等）茲確認，下述為本公司在正式召集的董事會上，有效地通過並接納的決議之真正副本，該董事會議自始至終有足夠法定人數出席，按照本公司章程規定並載入本公司之會議記錄冊內，而該決議案未有被修訂，並且正全面生效及有效。

IT WAS RESOLVED THAT:
董事會決議通過：

(1) a securities trading account (the "**Account**") be opened and maintained in the name of the Company with **DINGXIN (SECURITIES) LIMITED** (the "**Licenced Corporation**") for the purpose of holding funds relating to any purchases, sales, holdings and other dealings in securities as the Company may instruct the Licenced Corporation as its agent to effect from time to time on behalf of the Company and that the Account and all such purchases, sales, holdings and other dealings be effected subject to and in accordance with the Authorization for Account Opening and the provisions the Client's Agreement;
以本公司名義在 **鼎鑫（證券）有限公司**（下稱「**持牌法團**」）開立並操作一個證券交易帳戶（下稱「**帳戶**」）以便本公司安排現金處理證券買賣、保管及各項證券交易，並且可不時以持牌法團為代理人代本公司用該帳戶進行證券買賣、保管及其他交易受開戶授權書及客戶協議書之條文規定；

(2) the Authorization for Account Opening Information (together with the Schedules thereto) and the Client's Agreement in such form as completed and produced to the Meeting be and are hereby approved and that any one director of the Company be and is hereby authorized to sign the same for and on behalf of the Company and to deliver the signed originals to the Licenced Corporation; and
批准經填妥並於本次會議上提交之開戶授權書、開戶資料（及其附錄）及客戶協定，並授權本公司任何一位董事代表本公司簽署上述開戶授權書、開戶資料及客戶協定，並將經簽署之該檔正本送交持牌法團；及

(3) that for the operation of the Account, any ____ of the following persons be and is / are hereby authorized to give oral or written instructions on behalf of the Company, by telephone or in person or by facsimile or by letter or otherwise in all matters affecting the Account, including but not limited to the giving of securities trading instructions, transfer of funds, the delivery or transfer of securities and to sign any documents, statements or confirmations:
授權以下任何 ____ 人仕代表本公司用電話、親臨、電傳、信函或其他方式處理該帳戶包括但不限於買賣證券的指示、資金的轉移、證券的交收及簽署檔、結算單或確認書等：

Name 姓名	ID Card / Passport No. 身分證 / 護照號碼	Specimen Signature 簽名式樣

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***若空格不敷應用，請另加新頁續寫資料，然後夾附於開戶表。**

Director's Signature 董事簽署

Director's Signature 董事簽署

Name of Director 董事姓名

Name of Director 董事姓名

***If the space is insufficient, please continue on a separate sheet(s) and attach it / them to the account opening form.**
***若空格不敷應用，請另加新頁續寫資料，然後夾附於開戶表。**

III – For ALL Accounts 所有帳戶適用

1. Investment Experience & Derivative Products Knowledge 投資經驗及衍生產品認識

For Corporate Account: Please complete this part by the ultimate person(s) who control(s) the account or make(s) investment decision
公司客戶：請由負責掌管帳戶或作出投資決策的最終控制者填寫此部份

a) Corporate / Primary Account Holder 公司 / 主要帳戶持有人	b) Secondary Account Holder 第二帳戶持有人
(i) Investment Objective 投資目標（Multiple answers allowed 可選多項） ☐ Speculation 投機 ☐ Capital Appreciation 資產增值 ☐ Hedging 對沖 ☐ Dividend/Interest Income 股息收入 ☐ Others 其他 ________________	**(i) Investment Objective 投資目標（Multiple answers allowed 可選多項）** ☐ Speculation 投機 ☐ Capital Appreciation 資產增值 ☐ Hedging 對沖 ☐ Dividend/Interest Income 股息收入 ☐ Others 其他 ________________

(ii) Investment Experience 投資經驗	Year of experience 投資年資	(ii) Investment Experience 投資經驗	Year of experience 投資年資
☐ Stock 證券		☐ Stock 證券	
☐ Futures and Options 期貨及期權合約		☐ Futures and Options 期貨及期權合約	
☐ Unit Trust / Mutual Fund 單位信託 / 互惠基金		☐ Unit Trust / Mutual Fund 單位信託 / 互惠基金	
☐ Leveraged Foreign Exchange 槓桿外匯		☐ Leveraged Foreign Exchange 槓桿外匯	
☐ Derivative Warrants 衍生認股證		☐ Derivative Warrants 衍生認股證	
☐ Callable Bull / Bear Contract (CBBC) 牛熊證		☐ Callable Bull / Bear Contract (CBBC) 牛熊證	
☐ Exchange Traded Fund (ETF) 交易所買賣基金		☐ Exchange Traded Fund (ETF) 交易所買賣基金	
☐ Equity Linked Instruments (ELI) 股票掛鈎票據		☐ Equity Linked Instruments (ELI) 股票掛鈎票據	
☐ Bond 債券		☐ Bond 債券	
☐ Structure Products 結構性產品		☐ Structure Products 結構性產品	
☐ Others 其他		☐ Others 其他	
☐ Nil 沒有		☐ Nil 沒有	

(iii) Knowledge of derivative product 有關衍生產品之認識	(iii) Knowledge of derivative product 有關衍生產品之認識
☐ by undergoing training or attending courses or seminars that provide general knowledge of the nature and risks of derivative product(s). 已接受有關介紹一般衍生產品之性質及風險的培訓或課程 Please specify: 請註明：________________	☐ by undergoing training or attending courses or seminars that provide general knowledge of the nature and risks of derivative product(s). 已接受有關介紹一般衍生產品之性質及風險的培訓或課程 Please specify: 請註明：________________
☐ from your current work experience related to derivative products; or 客戶從現時的工作經驗獲取有關衍生產品之認識，或 You have prior relevant work experience in financial institution(s); or 客戶於金融機構擁有相關工作經驗，或 others (please specify): 其他（請註明）：________________	☐ from your current work experience related to derivative products; or 客戶從現時的工作經驗獲取有關衍生產品之認識，或 You have prior relevant work experience in financial institution(s); or 客戶於金融機構擁有相關工作經驗，或 others (please specify): 其他（請註明）：________________
☐ from your relevant trading experience, i.e. you have executed five or more transactions in derivative product(s) (whether traded on an exchange or not) within the past three years. 從客戶等相關之交易經驗，即客戶與過去三年內已進行五次或以上有關衍生產品之交易（不論是否於交易所進行交易）。	☐ from your relevant trading experience, i.e. you have executed five or more transactions in derivative product(s) (whether traded on an exchange or not) within the past three years. 從客戶等相關之交易經驗，即客戶與過去三年內已進行五次或以上有關衍生產品之交易（不論是否於交易所進行交易）。
☐ You have **NO** knowledge of derivative products. 客戶並 **未有** 衍生產品之認識	☐ You have **NO** knowledge of derivative products. 客戶並 **未有** 衍生產品之認識

2. Method of Account Statement Delivery 戶口結單發送方式

Account Statements will be sent to the Client in the following way: (Please select one) 帳戶結單將透過以下途徑寄往客戶：(請選擇其中一項)

☐ By Post to the following address 郵寄至下列地址 (A monthly service fee, $ 30 will be charged on mailing account statements. 本公司會就郵寄結單服務收取 $ 30 月費。)

☐ Residential Address 住宅地址 ☐ Registered Address 註冊地址 ☐ Business Address 公司地址

☐ Correspondence Address 通訊地址：________________

☐ By E-mail 電子郵件 (E-mail Address: 電郵地址：________________)

☐ The Client acknowledges that the Client has read and understood clause 16.2 of Section B in the Client Agreement and agrees to be bound by them.
客戶確認已細閱及明白客戶協議書 B 部分 - 一般性條款及條件第 16.2 條，並接受該等現時有效及不時修改的條款約束。

3. Financial Arrangement 財務安排

(i) Deposit Arrangement 存款安排
For deposit details, please refer to our website www.dingxinsec.com 有關存款詳情，請瀏覽我們的網站 www.dingxinsec.com

(ii) Withdrawal Arrangement 提款安排
Unless otherwise instructed by me / us, all monies payable to me / us may be credited to the following bank account:
除非本人 / 吾等給予其他指示，本人 / 吾等所有的提款可以存款至下列銀行帳戶：

Name of Bank: 銀行名稱：	Bank account No.: 銀行帳戶號碼：	Location of the bank account: 銀行戶口所在地：

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

I am / We are the ultimate beneficial owner(s) of the account. 本人 / 吾等是該帳戶的最終實益擁有人

☐ Yes 是

☐ No, please specify: 否，請註明： Name of Ultimate Beneficial Owner(s): 最終實益擁有人姓名：____________________

Relationship with Account Holder: 與帳戶持有人的關係：____________________

I.D. Card / Passport No.: 身份證或護照號碼：____________________

Address (Note) 地址(註)：____________________

Is / are the ultimate beneficial owner(s) a U.S. citizen or resident? (Note)
該最終實益擁有人是否美國公民或居民？（註） ☐ No 否 ☐ Yes 是

Is / are the ultimate beneficial owner(s) born in U.S.? (Note)
該最終實益擁有人是否在美國出生？（註） ☐ No 否 ☐ Yes 是

5. Ultimate Originator(s) of all Transaction 帳戶最終交易指示發出者

I am / We are ultimately responsible for all transaction instructed. 本人 / 吾等是帳戶最終交易指示發出者

☐ Yes 是

☐ No, please specify: 否，請註明： Ultimate Originator(s) of Transaction: 帳戶最終指示發出者姓名：____________________

I.D. Card / Passport No. 身份證或護照號碼：____________________

Address (Note) 地址（註）：____________________

6. Electronic Trading Service 電子交易服務
(Only applicable to Clients who apply for electronic trading service 只適用於申請電子交易之客戶)

☐ I / We **DO** agree to apply for the electronic trading service 本人 / 吾等 **同意** 申請電子交易。
Please fill in mailing address and / or e-mail address for receiving password:
請填上接收密碼之郵寄地址及 / 或電郵地址： ____________________

☐ I / We **DO NOT** agree to apply for the electronic trading service 本人 / 吾等 **不同意** 申請電子交易。

Notice 注意事項

(i) The Client now applies to open an electronic trading service account with Dingxin (Securities) Ltd. Before opening the service, the Client acknowledges that he / she has read and understood the terms and conditions of Section F - Agreement for Electronic Trading Services and agrees to be bound by them.
客戶現向鼎鑫（證券）有限公司申請開立電子交易買賣帳戶。於開戶前，客戶確認已細閱及明白本協定 F 部－電子交易協定之條件及條款，並接受該等於有效及不時修改的條款約束。

(ii) The Client understands that he / she should contact Dingxin (Securities) if the password package and / or email notification is not received for a period of time after the account is opened. 客戶知道若開戶後多天仍然未收到密碼包及 / 或電郵通知密碼，須主動向鼎鑫（證券）有限公司查詢。

7. For Margin Account 孖展（保證金）帳戶適用

(i) Is your spouse a margin client of Dingxin (Securities) Ltd? 申請人的配偶是否鼎鑫（證券）有限公司的孖展（保證金）客戶？
☐ No 否 ☐ Yes, please specify, 是，請註明，Name of Spouse: 配偶之姓名：__________ Account No.: 帳戶號碼：__________

(ii) Do you control, either alone or with your spouse, 35% or more of the voting rights of another margin client of Dingxin (Securities) Ltd?
客戶是否單獨或與配偶共同控制鼎鑫（證券）有限公司其他孖展（保證金）客戶之百分之三十五或以上的投票權？
☐ No 否 ☐ Yes, please specify, 是，請註明，Account Name: 帳戶名稱：__________ Account No.: 帳戶號碼：__________

(iii) Is or was the Applicant at any time during the past 12 months, directly or indirectly (e.g. though a body corporate), whether or not together with other person(s) and / or entity(ies), connected or associated with any director (including any ex-director within the past 12 months), chief executive or substantial shareholder of Dingxin (Securities) Ltd (Connected Person)?
申請人是否現時或於過去 12 個月內任何時間，直接或間接（例如:透過法人團體），不論是否聯同其他人士及 / 或實體，跟鼎鑫（證券）有限公司的任何董事（包括過去 12 個月內之前董事）、行政總裁或主要股東有所關連（有關連人士）？
☐ No 否 ☐ Yes, please specify, 是，請註明，Name of the Connected Person: 有關連人士姓名：__________ Relationship: 關係：__________

8. Promotion materials 優惠及推廣資料 (Please read the Personal Information Collection Statement ("PICS"))（請參閱個人資料收集聲明）

☐ I / We **DO** agree to receive the promotion and notices from Dingxin (Securities) Ltd 本人 / 吾等 **同意** 接收鼎鑫（證券）有限公司之優惠及相關通知

☐ I / We **DO NOT** agree to receive the promotion and notices from Dingxin (Securities) Ltd 本人 / 吾等 **不同意** 接收鼎鑫（證券）有限公司之優惠及相關通知

9. Politically Exposed Persons 政治人物

☐ The Client declares and confirms that they are **NOT** PEP*. 客戶聲明及確認其並 **不是** 政治人物*。

☐ The Client declares and confirms that they **ARE** PEP*, and the details are provided below: 客戶聲明及確認其 **乃** 政治人物*，詳情如下：

Name of person entrusted with public function: 擔任公職人士之姓名：____________________

Relationship with Client: 與客戶關係： ☐ Self 本人 ☐ Others 其他（please specify 請註明）：____________________

Position: 職位：____________________

Name of the public body: 公共機構名字：____________________

Country: 國家：____________________

Years of Service: 服務年期：____________________

10. Risk Profile Questionnaire 風險承受能力問卷

This questionnaire is to capture your general personal circumstances and to assess your overall **GENERAL** attitude towards investment risks as an investor. Only you can decide what risk / return trade-off you are comfortable with. This questionnaire may help you to assess your tolerance for risk. (The result of the questionnaire is based on the information of the Primary Account Holder.)
本問卷旨在瞭解您的一般個人狀況及評估您作為投資者整體上對投資風險的 **一般** 態度。只有閣下能夠決定那種程度的風險回報能令您安心，透過本問卷可助您評估自已面對風險的承受能力。(本問卷以主要帳戶持有之資料作出評估)

Please choose the appropriate answer below. 請選擇下列最適當答案。

Q1. What is your education level? 您的教育程度是？

- ☐ (a) Primary level or below 小學程度或以下
- ☐ (b) Secondary level 中學程度
- ☐ (c) Tertiary / University level 預科或大學程度

Q2. How many years of experience do you have with investment products the value of which can fluctuate (including 'buy and hold' and active trading)? Investment products the value of which can fluctuate could include, for example stocks, unit trusts, foreign currencies, commodities, structured investment products, warrants, options, futures, investment-linked insurance plans.
您有多少年投資於價值波動之投資產品的經驗（包括購入然後長期持有及經常買賣投資產品）？價值會波動之投資產品的例子包括股票、單位信託基金、單位信託基金、外幣、商品、結構投資產品、結構投資產品、認股權證（俗稱「窩輪」)、期權、期貨、投資相連保單等。

- ☐ (a) No experience or less than 1 year 沒有經驗或少過 1 年
- ☐ (b) Between 1 and 3 years 1 至 3 年
- ☐ (c) Over 3 years 多過 3 年

Q3. Do you have any investment experience or knowledge of the below products? (You may select more than 1 option)
您是否有以下任何產品的投資經驗或知識？（您可選擇多於一個選項）

- ☐ (a) Cash, Deposits, Certificates of Deposit, capital protected products, HKSAR Government Bond 現金、存款、存款證、保本產品、香港政府債券
- ☐ (b) Stocks, Bonds, Equity or Bond Funds (including Mandatory Provident Funds, but excluding money market funds), investment-linked insurance plans
股票、債券、股票或債券基金（包括強積金，但不包括貨幣市場基金)、投資相連保單
- ☐ (c) Options, futures, warrants, hedge funds 期權、期貨、認股權證（俗稱「窩輪」)、對沖基金

Q4. Over a period of time the value of investments can rise and fall, which is called fluctuation. Generally, the higher the investment risk, the higher the potential fluctuation but also the higher the potential returns. On the other hand, the lower the investment risk, the lower the potential fluctuation but also the lower the potential returns. What level of fluctuation would you generally be comfortable with?
在一段時間之內，投資價值可升可跌，我們稱之為波動。一般而言，風險愈高的投資，其潛在波動愈大，但潛在回報亦愈高。相反，風險愈低的投資，其潛在波動愈小，但潛在回報亦相對較低。在一般情況下，您會願意投資於波動程度多大的投資產品？

- ☐ (a) Fluctuates under -30% and over +30% 波動多於 -30% 至 +30%
- ☐ (b) Fluctuates between -30% and +30% 波動於 -30% 至 +30% 之間
- ☐ (c) Fluctuates between -15% and +15% 波動於 -15% 至 +15% 之間

Q5. How much of your investments would you require to liquidate to meet liquidity need for an unforeseen event?
您有多需要將投資專案變現，來滿足對突發事件的流動資金需要？

- ☐ (a) I would not have to sell any of my investments 我不一定會出售任何投資
- ☐ (b) I would sell less than 30% of my investments 我會出售少於 30% 的投資
- ☐ (c) I would sell more than 30% but less than 50% of my investments 我會出售多於 30% 但少於 50% 的投資
- ☐ (d) I would sell more than 50% of my investments 我會出售 50% 以上的投資

Q6. It is generally true that the longer the investment horizon, the higher the risk an investor can tolerate, and the values of investment products will fluctuate. What time horizon would you generally be comfortable with when investing in investment products?
在一般情況下，投資的年期越長，須承受的風險越高，而投資產品的價值亦會波動。當投資於產品時，您會願意接受下列哪項投資年期？

- ☐ (a) Over 3 years 多過 3 年
- ☐ (b) Between 1 and 3 years 1 至 3 年
- ☐ (c) Less than 1 year 少過 1 年

Q7. Which of the following best describes your risk attitude towards investment value fluctuations? 以下哪一項最適合用來形容你對投資風險的態度？

- ☐ (a) Risk adverse – I would be very concerned about any volatility; I am not comfortable with fluctuations in the values of my investment portfolio.
避免風險 – 我是相當保守的投資者，我不願意所從事的投資有任何價格波動。
- ☐ (b) Conservative – I am conservative, but can accept some minor fluctuations in my portfolio's value and some potential loss of principal. I am more concerned with preserving my principal and earning income that maximizing capital appreciation.
平穩保守 – 我是保守的投資者，我可以接受所從事的投資有少許價格波動及可能損失部分投資本金，但比較注重保本及收益。
- ☐ (c) Moderate – I have a moderate investment attitude and accept that the potential for higher returns means accepting fluctuations in my portfolio's value and possible loss of principal. 中度風險 – 我瞭解風險與高回報息息相關，因此我願意接受從事的投資有價格波動情況，及可能損失投資本金。
- ☐ (d) Aggressive – I want my investments to grow and earn the highest possible return. I can accept negative fluctuations and possible loss of my principal.
進取增長 – 我期望透過投資增長而達至最高回報。我能接受價格下跌及可能損失投資本金。

Internal Use 內部專用 Risk Tolerance Analysis 風險承受能力分析			Total Score: 總分數：________________
Total Score 總分數	< 40	41 – 70	71 – 100
Risk Tolerance Level 風險承受程度	Low Risk 低風險	Medium Risk 中風險	High Risk 高風險
Investor General Characteristics 投資者的一般特徵	**Conservative 保守型** You are risk adverse and value capital preservation over growth. You are willing to accept minimal capital returns. 閣下希望儘量避免風險並期望資產增長的同時得到期望資產增長的同時得到最大的保值，願意接受輕微程度的資本回報。	**Balance 平衡型** You are willing to accept a medium level of investment risks in exchange for moderate capital growth. You can tolerate moderate fluctuation of capital values with the possibility of facing occasional high short-term loss. 閣下願意接受以中等水準的投資風險換取平穩的資本增長，能夠承受溫和的資本值波動和能面對偶爾的短期高損失之可能性。	**Aggressive 進取型** You are willing to accept a very significant level of investment risks in exchange for potential returns. You understand that your investments may have a highly uncertain value at any given time and also be very difficult or impossible to sell over an extended period. Thus, you may lose a significant part or all of your investment capital. 閣下樂意接受以非常高水準的投資風險換取較高的潛在回報，並明白可能在任何特定時間內投資價值不明確，及非常困難或沒可能在一段較長的時間內出售投資產品。因此閣下所投資之本金有機會招致大部份或全部的損失。

Internal Use 內部專用 - Assessment Matrix 評估組合										
	Q1	**Q2**	**Q3**	**Q1-Q3 Sub-total 小計**	**Q4**	**Q5**	**Q6**	**Q7**	**Total Score 總計**	Assessed by:
(a)	- 20	- 10	-10 (if ticked (a) only) （如果只選 (a)）	Max. accumulated score for Q1 - Q3, 0 Pt. Q1 - Q3 最高累積分數為 0 分。	+ 65	0	+ 10	+ 5		
(b)	0	0	0		+ 50	- 10	0	+15		Date:
(c)	0	+ 10	+ 10		+ 20	- 20	- 10	+ 20		
(d)						- 25		+ 25		

Disclaimer 免責聲明

1. The result of this questionnaire is derived from the information you provided to Dingxin (Securities) Limited ("Dingxin") and on certain generally accepted assumptions and reasonable estimates. The calculation and the value used in this questionnaire are used for illustration purpose only. Dingxin accepts no responsibility or liability as to the accuracy or completeness of the information containing in this questionnaire and / or the result.
本問卷的結果是從您向鼎鑫（證券）有限公司（「鼎鑫」）提供的資料，並根據若干普遍接納的假設及合理估算而得出。本問卷採用的方法及取值僅供說明用途。鼎鑫對本問卷所載資料及 / 或所得結果的準確性或完整性並不負責或承擔任何法律責任。

2. This questionnaire and the result only serve as a reference for your consideration, and are not an offer to sell or a solicitation for an offer to buy any financial products and services and they should not be considered as investment advice or recommendation.
本問卷及所得結果僅供您參考，並非購買或出售任何金融產品及服務的要約或招攬，亦不應被視為投資意見或推薦。

3. Please be reminded that any failure to fully disclose all or any of your personal circumstances (e.g. financial situation), inaccurate, incomplete or outdated information may affect our assessment of your attitude and capacity for investment risks. If there is any change in circumstances which may affect your answer(s) to any question in this questionnaire, we strongly recommend you to complete this questionnaire again.
請注意，倘若您未能全面披露所有或任何有關您的個人狀況（如財務狀況）、不正確、不完整或過時的資料可能影響鼎鑫評估您對投資風險的態度及承受能力。如您的狀況出現變動而可能影響本問卷中任何問題的答案，我們極力建議您再次填寫本問卷。

Note 註

If the information provided by the Client indicates any "U.S. Indicia" as below:
如果客戶所提供的資料，有以下任何一項「美國指標」：

(1) The Client is a U.S. citizen or resident;
客戶為美國公民或居民；

(2) The Client was born in U.S.;
客戶在美國出生；

(3) The Client holds a current U.S. mailing, residential address (including a U.S. post office box);
客戶現時擁有美國的郵寄地址、住宅地址（包括美國郵政信箱）；

(4) The Client holds a current U.S. telephone number;
客戶現時擁有美國的電話號碼；

(5) The Client requests Standing Instructions to transfer funds to an account maintained in the U.S.;
客戶要求以常設授權方式，匯款往一個在美國開立的帳戶；

(6) Any of the Ultimate Beneficial Owner and / or Directors of the Client holds a U.S. address; or
帳戶的任何最終實益擁有人及 / 或董事擁有美國地址；或

(7) The Client used an "in-care-of" or "hold mail" address as his / her sole address.
客戶以一個代收或代存郵寄地址作為其唯一位址。

Then, please choose any 1 of the following options to declare the U.S. or non-U.S. status of the Client or the ultimate beneficial owner of the account:
請客戶或帳戶之最終實益擁有人選擇以下其中一項，申報其美國人或非美國人的身份：

a. If the Client or the ultimate beneficial owner of the account holds a U.S. citizenship or lawful permanent resident (green card) status, whether he / she was born in U.S., please complete Form W-9 to establish U.S. status.
如客戶或帳戶之最終實益擁有人擁有美國公民或美國合法永久居民（綠咭）身份，不論其是否在美國出生，請填寫 W-9 表格以確立美國人身份。

b. If the Client or the ultimate beneficial owner of the account does **NOT** hold a U.S. citizenship or lawful permanent resident (green card) status, but has any of the U.S. indicia (2) to (7), please:
如客戶或帳戶之最終實益擁有人 **並無** 擁有美國公民或美國合法永久居民（綠咭）身份，但擁有上述 (2) 至 (7) 項美國指標，請
   (i) complete Form W-8 and provide a non-U.S. passport or other similar government issued evidence establishing his / her citizenship in a country other than the U.S.; and
   填寫 W-8 表格及提供非美國護照或其他由政府發出的證明檔以確立非美國人身份；及
   (ii) if the Client or the ultimate beneficial owner of the account was born in U.S., please provide the copy of the form "Certificate of Loss of Nationality of the United States" or written explanation regarding his / her relinquishment of U.S. citizenship or reason why he / she did not obtain U.S. citizenship at birth.
   如客戶或帳戶之最終實益擁有人在美國出生，請提供表格 "Certificate of Loss of Nationality of the United States"，或書面解釋有關客戶或帳戶之最終實益擁有人放棄美國公民身份或沒有取得美國公民身份的原因。

c. If the Client or the ultimate beneficial owner of the account does **NOT** have any U.S. indicia above, no W-8 or W-9 forms are required.
如客戶或帳戶之最終實益擁有人並無擁有上述任何美國指標，則 **不用** 填寫 W-8 或 W-9 表格。

11. Declaration 聲明

The Client agrees to open the above account(s) with Dingxin (Securities) Ltd on the terms and conditions as set out in the Client's Agreement applicable to the type of account(s) that the Client agrees to open.
以下簽名之客戶同意並根據客戶協定內適用於客戶所選擇服務帳戶之條款及條件於鼎鑫（證券）有限公司開設買賣 / 服務帳戶。

The Client hereby acknowledges receipt of a copy of the Client Agreement and confirms that the Client has read and understood such terms and conditions. By signing this part, the Client declares and confirms that:
客戶確認客戶已收到一份客戶協定，已閱讀及明白有關類別帳戶之一切條款及條件。客戶簽署以下分段，表示客戶聲明及確認如下：

a. The information provided is complete, true and accurate. Dingxin (Securities) Ltd is entitled to rely fully on such representations and information for all purposes, unless the Client informs Dingxin (Securities) Ltd in writing of any change to that information. Dingxin (Securities) Ltd is authorized to contact anyone, including the Client's bankers, brokers or any credit agency, for the purposes of verifying the information provided in this Client Information Statement.
客戶所提供之所有資料屬完整，真實及正確。鼎鑫（證券）有限公司有權在任何用途上完全依賴這些資料及陳述，除非客戶另行以書面通知鼎鑫（證券）有限公司有任何資料更改，鼎鑫（證券）有限公司有權聯絡客戶之銀行、經紀或任何信貸機構作核實本客戶資料聲明之用途。

b. The Client acknowledges that the Client has received and understood the contents of (i) Trading Facts / Contracts Specification and (ii) Trading Rules and Regulations of different products provided by Dingxin (Securities) Ltd and fully understands the margin policy and the circumstances under which the Client's positions may be closed without the Client's consent.
客戶確認收到並瞭解有關各類鼎鑫（證券）有限公司提供之合約產品 (i) 買賣一覽表 / 合約細則和 (ii) 買賣交易規則所列明之內容；及其全部清楚瞭解保證金政策及毋須客戶同意而可將客戶買賣盤平倉之情況。

c. The Client acknowledges that the Client has read and understood the contents of the Risk Disclosure Statements as referred to in Section H, in particular the Client fully understands the nature and risks associated with derivative product(s) as mentioned in Part B. Although the Client might not have relevant derivatives product(s) trading experience, the Client may still base on the own independent judgment of the Client to request for entering into transaction(s) of derivative product(s) and would take all risks associated.
客戶確認客戶已閱讀及明白 H 部風險披露聲明書及免責聲明之一切內容，尤其客戶已完全瞭解 B 部分當中提及衍生產品之性質及相關風險。儘管客戶可能並沒有相關衍生產品交易經驗，客戶可基於客戶獨立判斷仍要求衍生產品交易。客戶願意承擔所有相關衍生產品之風險。

d. The Client further declares that the account(s) was / were opened at his / her / their free will and the account executive and / or associate of Dingxin (Securities) Ltd has not carried on any unsolicited calls on the Client.
客戶進一步聲明客戶在訂立任何契約時是在絕對自願情況下開設戶口，而鼎鑫（證券）有限公司的客戶主任及 / 或其夥伴並沒有對本人作出任何未經邀請約之造訪行為。

e. In compliance with the requirements under Foreign Account Tax Compliance Act ("FATCA") or any other Foreign Law Requirement, the Client agrees and authorizes that Dingxin (Securities) Ltd, according to the clause 8 in Section B of Client Agreement, is entitled to withhold and deduct any payment or funds (maybe subject to 30% of the gross proceeds and / or any other amount as required by IRS from time to time) under the Client's accounts as required at Dingxin (Securities) Ltd sole and absolute discretion in order to comply with and meet its obligations under FATCA or any other Foreign Law Requirement. In any event, the Client confirms that Dingxin (Securities) Ltd shall not be liable for any loss or damages in relation to the withholding or deduction in this matter.
為遵從《海外帳戶稅收合規法案》("FATCA") 的相關要求，客戶同意並授權鼎鑫（證券）有限公司可根據 B 部分第 8 段，享有唯一及絕對的酌情權，從客戶的帳戶中，預留或扣除任何款項（可高達總交易金額的 30%及 / 或由美國國稅局不時要求的其他金額），以及收取任何由該預扣款項所衍生的費用。客戶確認，在任何情況下，鼎鑫（證券）有限公司將不會為任何因稅收合規法案要求下預扣或扣除款項，所引致的損失及損害負上責任。

f. The Client further undertakes to fully indemnify Dingxin (Securities) Ltd against any loss, damages and cost suffered by Dingxin (Securities) Ltd as a result of the Client providing misleading or false information or otherwise failing to comply with any requirement under FATCA and any other Foreign Law Requirement.
客戶並承諾，如因客戶提供含誤導成分或錯誤的資料，或並無遵守海外帳戶稅收合規法案及任何其他外國法規定的情況下，招致鼎鑫（證券）有限公司的任何損失，損害或開支，客戶會向鼎鑫（證券）有限公司作出彌償。

g. The Client acknowledges and confirms that the Client has read and understood the Notice on Personal Data (Privacy) Ordinance as set out in Section I. Unless the Client does not agree to the use of the Client's personal data for direct marketing by ticking the box above, the Client acknowledges and consents to the use and / or transfer of his / her personal data for direct marketing as set out in the Notice on Personal Data (Privacy) Ordinance.
客戶確認客戶已閱讀並明白客戶協定內 I 部份有關個人資料（私隱）條例的通知。除非客戶剔選以上方格以表示不同意客戶的個人資料為直接促銷之目的而被使用，客戶確認並同意根據以上有關個人資料（私隱）條例的通知為直接促銷之目的而使用及 / 或轉移客戶的個人資料。

h. The Client hereby authorizes Dingxin (Securities) Ltd to transfer any amount of fund and / or stock in any one or more trading accounts now or hereafter opened in the name of the Client with Dingxin (Securities) Ltd in connection with this Agreement to any other account(s) maintained by the Client with Dingxin (Securities) Ltd at any time Dingxin (Securities) Ltd deems appropriate and for such purpose authorizes Dingxin (Securities) Ltd to sign the " Fund Transfer Instruction Form " and / or "Stock Transfer Instruction Form" on the Client's behalf. The Client understands all transfer will be reflected in the account statement issued to the Client by Dingxin (Securities) Ltd.
客戶特此授權鼎鑫（證券）有限公司於其認為適當的時候，可調配客戶於當前或今後根據本協定在鼎鑫（證券）有限公司以客戶名義開立的任何一個或多個帳戶下之任何金額及 / 或股票至客戶在鼎鑫（證券）有限公司之其他帳戶，並為此目的授權鼎鑫（證券）有限公司代客戶簽署 "資金調配表格" 及 / 或 "股票調配表格"，客戶明白所有資金調配將於鼎鑫（證券）有限公司發予給客戶之帳戶結單上反映。

i. The Client hereby acknowledges and confirms that the Client has authorized Dingxin (Securities) Ltd to deal with the Client's funds and / or securities and / or securities collateral in accordance with the relevant part of the "Terms and Conditions for Trading Account" ("Standing Authority"). The Client acknowledges and confirms that the contents and effects of the relevant Standing Authority and hereby authorizes Dingxin (Securities) Ltd to have an absolute discretion to renew the relevant authorities. The Standing Authority (Client Securities) is applicable to the Securities Margin Accounts Clients while it is not applicable to cash clients who only hold a securities cash account. The Standing Authority (Client Money) is applicable to the Clients with multiple accounts while it is not applicable to clients holding one account only.
客戶謹此知悉及確認，已根據《客戶協定之條款及條件》內適用之（「常設授權」）部份，授權鼎鑫（證券）有限公司處置客戶的資金及 / 或證券及 / 或證券抵押品。客戶已知悉及確認適用之常設授權的內容及作用，並已授權鼎鑫（證券）有限公司有絕對的酌情權延續有關授權。常設授權（客戶證券）適用於證券保證金帳戶的客戶，並不適用於只持有證券現金帳戶的客戶。常設授權（客戶款項）適用於持有多於一個戶口的客戶，並不適用於只持有單一帳戶的客戶。

j. The Client acknowledges and confirms the relevant Standing Authority is required to be renewed annually and it may revoke by giving Dingxin (Securities) Ltd a written notice. If no written objection is received from the Client, it means the Client accepts the extension and to be bounded by the renewed Standing Authority terms and conditions.
客戶知悉及確認常設授權需每年續約一次，客戶已授權鼎鑫（證券）有限公司每年替其自動延續該授權，客戶可向鼎鑫（證券）有限公司發出書面通知以撤回該授權。如鼎鑫（證券）有限公司未收到客戶書面反對，則表示客戶同意及接受延長常設授權並繼續受其約束。

k. The Client acknowledges and confirms that the Client should pay attention to the announcement / notice promulgated on website www.dingxinsec.com of Dingxin (Securities) Ltd from time to time.
客戶知悉及確認，客戶應不時留意鼎鑫於網址 www.dingxinsec.com 刊載的公告及通知。

12. Signature 簽署

I / We do hereby declare that to the best of my / our knowledge and belief the above information is true and correct and can be relied upon by you in the satisfaction of your obligations. I / We also undertake to notify you in writing in case of any change of information in regard to the above item.
本人（等）謹此聲明本人（等）所知及所信上述資料屬真確及為正確無誤。貴司可倚賴此等資料以履行其義務。此外，凡上述資料如有任何更改，本人（等）謹此承諾致函通知 貴司。

I / We declare that the contents of the Authorization for Account Opening, Account Opening Information (together with the Schedules thereto), the Risk Disclosure Statement and the Client Agreement have been duly explained to me / us in a language of my / our choice (English or Chinese), and I / we have been invited to read the Risk Disclosure Statement, to ask questions and take independent advice, and I / we agree to be bound by the provisions thereof.
本人（等）在此聲明此開戶授權書、 開戶資料（及其附錄）、風險披露聲明及客戶協議書之內容已經向本人（等）以其所選擇及明瞭之語言（英文或中文）解釋，本人（等）獲邀閱讀該風險披露聲明，提出問題及徵求獨立的意見並同意接受該等條款及內容之約束。

IN WITNESS WHERE OF I/We hereto set my / our hands (and affix my/our Company Chop) hereto this day ______________________ *(Date)*.

茲見證本協議，本人（等）在此簽署（及蓋上公司印章）於______________________*（日期）*。

a) Corporate / Primary Account Holder 公司 / 主要帳戶持有人

Signature of Individual / Joint Account Holder /
Director / Authorized Person (with Company Chop)
個人 / 聯名帳戶持有人 / 董事 / 授權人士（及印章簽署）

Name of Individual / Joint Account Holder / Director / Authorized Person
個人 / 聯名帳戶持有人 / 董事 / 授權人士姓名

b) Secondary Account Holder 第二帳戶持有人

Signature of Individual / Joint Account Holder /
Director / Authorized Person (with Company Chop)
個人 / 聯名帳戶持有人 / 董事 / 授權人士（及印章簽署）

Name of Individual / Joint Account Holder / Director / Authorized Person
個人 / 聯名帳戶持有人 / 董事 / 授權人士姓名

In the presence of 見證於

Witness Name 見證人姓名

Witness Signature 見證人簽署

Witness Identity No. 見證人身份證明文件編號

Witness Occupation 見證人職業

Witness Address 見證人地址

Internal Use 內部專用 - ACCEPTED AND CONFIRMED BY DINGXIN (SECUTITIES) LIMITED 鼎鑫（證券）有限公司接受及確認

For and on behalf of
DINGXIN (SECUTITIES) LIMITED

Authorized Signature 授權簽署

In the presence of 見證於

Witness Signature 見證人簽署

Witness Name: 見證人姓名：______________________

Internal Use 內部專用 - Declaration by SFC Licensed Representative 證監會持牌代表之聲明

I declare that I have provided to the Client the Risk Disclosure Statements as referred in Section H of the Client's Agreement in a language of the Client's choice and invited the Client to read the Risk Disclosure Statements, ask questions and take independent advice if the Client wishes. I declare that I have not made unsolicited call(s) to induce or attempt to induce the Client named above to enter into agreement for trading securities with regards to the relevant regulatory requirements in section 174 of Securities and Futures Ordinance.
本人已按照客戶所選擇的語言提供客戶協定 H 部分的風險披露聲明書，並邀請客戶閱讀、提出問題及（如客戶有需要）徵求獨立的意見。本人聲明，已遵從證券及期貨條例第 174 條的相關規定，沒有進行未獲邀約的造訪而誘使上述客戶訂立有關證券交易之協定。

Name of the licensed representative 持牌人姓名	Signature of the licensed representative 持牌人簽署	CE No. 中央編號	Date 日期

Internal Use 內部專用	
Account No. 帳戶號碼	Date Opened 開戶日期

13. Signature Form 簽名印鑒表

1. Name 姓名	2. Name 姓名
ID Document Type 身份證明文件種類 ☐ HKID 香港身份證 ☐ ID / Passport 身份證 / 護照 Issued Country: 簽發國家：_______________	ID Document Type 身份證明文件種類 ☐ HKID 香港身份證 ☐ ID / Passport 身份證 / 護照 Issued Country: 簽發國家：_____________________
ID Document No. 身份證明文件號碼	ID Document No. 身份證明文件號碼
Signature 簽署	Signature 簽署

3. Name 姓名	4. Name 姓名
ID Document Type 身份證明文件種類 ☐ HKID 香港身份證 ☐ ID / Passport 身份證 / 護照 Issued Country: 簽發國家：________________	ID Document Type 身份證明文件種類 ☐ HKID 香港身份證 ☐ ID / Passport 身份證 / 護照 Issued Country: 簽發國家：______________________
ID Document No. 身份證明文件號碼	ID Document No. 身份證明文件號碼
Signature 簽署	Signature 簽署

Specimen of Company Chop 公司印章式樣（For Corporate Account 公司帳戶適用）

Signing Arrangement 簽署安排

ANY ___________ of the above signature(s) 任何 __________ 個上列式樣

☐ **TOGETHER** with the Company Chop shall be valid **需加蓋** 公司印章方能生效

☐ **WITHOUT** the Company Chop shall be valid **不需加蓋** 公司印章便可生效