

「保证金证券合约」买卖是定性为高风险投资，阁下必须确保已了解「保证金证券合约」买卖的特性，仔细权衡阁下的投资经验、目标、财政状况及所能承担「保证金证券合约」买卖之相关风险后，方签署此账户开立表格。



- 个人账户
- 联名账户
- 公司 / 合夥公司账户

适用于保证金证券账户

## 保证金证券交易账户开立表格

致：海通国际证券有限公司，为一间核准从事证券及期货条例（香港法例第五七一章）中第一类（证券交易）及第四类（就证券提供意见）受规管活动之持牌法团（中央编号：AAF806）和香港联合交易所有限公司的交易参与者，通讯地址位于香港德辅道中189号李宝椿大厦22楼。（下称「贵公司」）含有众数意义的名词亦具单数名词的意义，反之亦然。

敬启者，

### 1. 开户申请

本人 / 吾等为 \_\_\_\_\_（下称「客户」），兹要求贵公司依照保证金账户条款和条件所載之条款和条件（下称「条款和条件」）为本人 / 吾等开立并维持一个或多个保证金证券交易账户（此账户将与本人 / 吾等在贵公司维持的任何其他账户合称为「账户」）及为本人 / 吾等提供一个使用电子服务的密码及登入名称。

### 2. 要求的服务类别

本人 / 吾等理解，贵公司可以绝对酌情不时依照账户条款和条件以及贵公司认为适当的其他条款，就贵公司代表本人 / 吾等进行之证券（定义见条款和条件）交易向本人 / 吾等提供财务通融。贵公司为记录此类交易而为本人 / 吾等开立的账户应是保证金证券交易账户。本人 / 吾等希望不时按本人 / 吾等的决定在贵公司开立一个或多个账户，以便买卖证券。贵公司同意不时按本人 / 吾等要求，全权酌情接纳本人 / 吾等以名称 / 姓名（等）、号码（等）或其他方式开立一个或多个账户并接纳本人 / 吾等开立及维持该（等）账户；贵公司亦将根据本表格条款和条件担任本人 / 吾等之代理人（如有本表格另行指明充任主事人（等）之情况例外），代本人 / 吾等买卖证券。

### 3. 签署指示（只适用于联名账户）

- (1) 以上每一联名账户持有人均各自有权不时以口头及 / 或透过电子服务（如适用）发出指示为账户买卖任何证券。
- (2)  其中一位联名账户持有人单独签署， 所有联名账户持有人共同签署，任何就账户运作及账户款项之书面指示，方为有效。

### 4. 确认及承认

本人 / 吾等确认收妥 (i) 条款和条件；及 (ii) 证券服务收费及费用表。  
《协议和风险披露声明》本人 / 吾等谨此承认并确定本人 / 吾等已获得按照本人 / 吾等所选择的语言（英文或中文）的本表格，当中包括，但不限于载于条款和条件内的风险披露声明，及本人 / 吾等已获邀请细阅该风险披露声明，提出问题及徵求独立的意见（如本人 / 吾等有此意愿）。  
《常设授权》本人 / 吾等谨此承认并确定本人 / 吾等已经根据条款和条件内第二十五条的常设授权条款授权贵公司处置在条款和条件内所定义的款项、证券及证券抵押品，并且本人 / 吾等就该条款的内容已获得解释，及本人 / 吾等明白该条款的内容。  
本人 / 吾等兹确认已经阅读并同意贵公司的账户开立表格、仅供公司 / 合夥公司账户使用签字页（如适用），已填写客户资料表，且已经阅读并同意附于本表格的条款和条件。所有上述文件构成贵公司与本人 / 吾等就账户达成之协议。  
本人 / 吾等确认收妥有关本人 / 吾等于海通国际证券有限公司开立账户之开户表格及客户资料表的副本，并根据本人 / 吾等的选择而以英文或中文编印。  
《个人资料隐私政策》本人 / 吾等已仔细阅读、完全理解并同意接受及遵守海通国际证券集团之个人资料隐私政策所载有关个人资料（私隐）条例（香港法例第486章）的通知及声明。除非本人 / 吾等在下方方格内另有指示，本人 / 吾等同意将本人 / 吾等的个人资料用作直接促销用途。  
 除了任何海通国际证券集团成员可将本人的个人资料作直接促销用途外，本人 / 吾等反对贵公司将本人 / 吾等的个人资料予其他第三者作直接促销用途。  
 本人 / 吾等反对将本人 / 吾等的个人资料提供予任何海通国际证券集团成员及任何第三者作直接促销用途。

\* 签署式样将被用作核证任何就账户运作之书面指示。

日期：\_\_\_\_\_

本表格由客户在上述日期以契约形式签署

账户号码：|02|-|\_|\_|\_|\_|\_|\_|\_|\_|\_|\_|-|33|-|\_|\_|\_|\_|\_|\_|\_|\_|\_|\_|

由客户以契约形式签字、封印及交付

客户签署/签署式样\*

(个人)

(联名客户)

客户姓名：\_\_\_\_\_ 联名客户姓名 / 获授权人仕：\_\_\_\_\_

身份证 / 护照号码：\_\_\_\_\_

身份证 / 护照号码：\_\_\_\_\_

加盖客户公司印章并由客户以契约的形式签字及交付

公司客户签署/获授权人签署及公司盖章式样

(公司客户)

董事姓名 / 获授权人仕：\_\_\_\_\_ 董事 / 公司秘书姓名 / 获授权人仕：\_\_\_\_\_

身份证 / 护照号码：\_\_\_\_\_

董事 / 公司秘书身份证 / 护照号码：\_\_\_\_\_

在见证人的见证下：

见证人签署：\_\_\_\_\_

见证人姓名：\_\_\_\_\_

见证人身份证 / 护照号码：\_\_\_\_\_

见证人地址：\_\_\_\_\_

在见证人的见证下：

见证人签署：\_\_\_\_\_

见证人姓名：\_\_\_\_\_

见证人身份证 / 护照号码：\_\_\_\_\_

见证人地址：\_\_\_\_\_

### 持牌人声明

本人已按照客户所选择的语言（英文或中文）提供客户风险披露声明及已邀请客户细阅该风险披露声明，提出问题及徵求独立意见（如客户有此意愿）。

持牌人姓名：\_\_\_\_\_（正楷）中央编号：\_\_\_\_\_

日期：\_\_\_\_\_

持牌人签署

海通国际证券有限公司确认书  
吾等确认并同意以上内容

经纪：\_\_\_\_\_ 牌照号码：\_\_\_\_\_

Official use only	
Maker	Checker
Date:	Date:



TFS-057

正式获授权代表海通国际证券有限公司



- INDIVIDUAL ACCOUNT
- JOINT ACCOUNT
- COMPANY / PARTNERSHIP ACCOUNT

For Margin Securities A/C

## MARGIN SECURITIES ACCOUNT OPENING FORM

To: **HAITONG INTERNATIONAL SECURITIES COMPANY LIMITED**, a licensed corporation to carry on Type 1 (dealing in securities) and Type 4 (advising on securities) regulated activities for the purposes of the Securities and Futures Ordinance (Cap. 571)(CE No.: AAF806) and an Exchange Participant of The Stock Exchange of Hong Kong Limited of 22/F., Li Po Chun Chambers, 189 Des Voeux Road Central, Hong Kong. (the "Company")

Words denoting the plural shall include the singular and vice versa.  
Dear Sirs,

### 1. ACCOUNT OPENING APPLICATION

I/We hereby request the Company to open and maintain a margin securities trading account or accounts (referred to, together with any other accounts maintained by me/us with the Company, as the "Account(s)") on the terms and conditions set out in the Margin Account Terms and Conditions (the "Terms and Conditions") and to provide me/us with a Password and Login Name in order to access the Electronic Services. ("Client")

### 2. TYPE OF SERVICE REQUIRED

I/We understand that the Company may, in your absolute discretion, from time to time on the Terms and Conditions and any other terms and conditions the Company may think fit, provide me/us with financial accommodation in respect of transactions in securities (as defined in Terms and Conditions) effected by the Company on my/our behalf. The Account(s) which the Company establishes for me/us to record such transactions shall be margin securities trading account(s). I/We wish to open one or more Account(s) with the Company as I/we may decide from time to time for the purchase or sale of securities. The Company agrees that the Company will from time to time at my/our request and at the Company's sole discretion allow me/us to open one or more Account(s) with the Company and accept and maintain such Account(s) to be designated by names, numbers or otherwise, and will act as agent (except as principal(s) on occasions specified in this Form) for me/us in the purchase or sale of securities subject to the Terms and Conditions.

### 3. SIGNING INSTRUCTION (joint account only)

- (1) Each of the joint account holders specified is authorized to give verbal instructions and / or instructions through the Electronic Services (where applicable) in relation to the purchase or sale of any securities from time to time singly; and
- (2)  Either one joint account holder signing singly,  All joint account holders signing jointly, validates any written instructions relating to the operation of the Account(s).

### 4. CONFIRMATIONS AND ACKNOWLEDGEMENTS

I/We acknowledge my/our receipt of (i) the Terms and Conditions; and (ii) the Securities Services Related Fees and Charges.  
**Agreement and Risk Disclosure Statements.** I/We hereby acknowledge and confirm that this Form, including but not limited to the Risk Disclosure Statements set out in the Terms and Conditions, was provided to me/us in a language of my/our choice (English or Chinese) and I/we was/were invited to read the Risk Disclosure Statements carefully, ask questions and take independent advice if I/we wish.  
**Standing Authority.** I/We hereby acknowledge and confirm that I/we have authorized the Company to deal with Monies (as defined in the Terms and Conditions) and securities and securities collateral in accordance with the Clause 25 of Standing Authority in the Terms and Conditions and the contents of that Clause have been explained to me/us and I/we understand the contents of that Clause.  
I/We hereby confirm that I/we have read and agree to the Company's Account Opening Form, Signature Page for Company / Partnership Account Use Only (if applicable), completed the Client Information Statement and have read and agree to the Terms and Conditions as attached to this form, all of which form the agreement made between the Company and me/us in relation to the Account(s).

I/We confirm that I/We have received a printed copy of the account opening form and client information statement regarding my/our account maintained with Haitong International Securities Company Limited in the language as selected by me/us (in Chinese or in English or both).

**Data Privacy Policy.** I/We have carefully read, fully understood and agreed to accept and be bound by the notice and statement relating to the Personal Data (Privacy) Ordinance (Cap. 486 of the Laws of Hong Kong) as set out in the Data Privacy Policy of the Haitong International Securities Group Limited. Unless I/We have indicated my/our objection by ticking the boxes below, I/We hereby consent to the use of my/our personal data for direct marketing purpose.

- I/We object to the proposed use of my/our personal data by other third parties except for the use of my/our personal data in direct marketing by any member of Haitong International Securities Group Limited in direct marketing.
- I/We object to the proposed use of my/our personal data by any member of Haitong International Securities Group Limited and any third parties in direct marketing.

\* Specimen Signature(s) herein will be used to verify all written instructions given relating to the operation of the Account(s).

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

IN WITNESS whereof the Client has executed this Form as a deed on the date above written.

SIGNED, SEALED AND DELIVERED AS A DEED by the Client

Client's Signature/Specimen\*

(Individual)

(Joint Clients)

Client's Name: \_\_\_\_\_

Joint Client's Name: \_\_\_\_\_

I.D./Passport No.: \_\_\_\_\_

I.D./Passport No.: \_\_\_\_\_

in the presence of the witness:

Signature of witness : \_\_\_\_\_

Name of witness : \_\_\_\_\_

I.D./Passport No. of witness : \_\_\_\_\_

Address of witness : \_\_\_\_\_

Account No. : 02 - [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] - 33 - [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ]

SEALED with the Common Seal and EXECUTED and DELIVERED AS A DEED by the Client

Company Client's Signature / Authorized Specimen(s) and Business Chop

(Company Clients)

Name of Director/authorized signatory : \_\_\_\_\_

Name of Director/Company Secretary/  
authorized signatory: \_\_\_\_\_

I.D./Passport No.: \_\_\_\_\_

I.D./Passport No.: \_\_\_\_\_

in the presence of the witness:

Signature of witness : \_\_\_\_\_

Name of witness : \_\_\_\_\_

I.D./Passport No. of witness : \_\_\_\_\_

Address of witness : \_\_\_\_\_

### DECLARATION BY LICENSED PERSON

I have provided the Risk Disclosure Statements to the Client in a language of his/his choice (English or Chinese) and have invited him/him to read the Risk Disclosure Statements carefully, ask questions and take independent advice if he/they wish(es).

Name: \_\_\_\_\_ (Block Letters) CE No.: \_\_\_\_\_

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

### ACKNOWLEDGEMENT BY HAITONG INTERNATIONAL SECURITIES COMPANY LIMITED

We acknowledge and agree to the above.

Signature of Licensed Person

Account Manager: \_\_\_\_\_ CE No.: \_\_\_\_\_

Official use only	
Maker	Checker
Date:	Date:



TFS-057

Duly authorized for and on behalf of  
**Haitong International Securities Company Limited**