

「保證金證券合約」買賣是定性為高風險投資，閣下必須確保已了解「保證金證券合約」買賣的特性，仔細權衡閣下的投資經驗、目標、財政狀況及所能承擔「保證金證券合約」買賣之相關風險後，方簽署此賬戶開立表格。



- 個人賬戶
- 聯名賬戶
- 公司 / 合夥公司賬戶

適用於保證金證券戶口

## 保證金證券交易賬戶開立表格

致：海通國際證券有限公司，為一間核准從事證券及期貨條例（香港法例第五七一章）中第一類（證券交易）及第四類（就證券提供意見）受規管活動之持牌法團（中央編號：AAF806）和香港聯合交易所有限公司的交易所參與者，通訊地址位於香港德輔道中189號李寶椿大廈22樓。（下稱「貴公司」）

含有眾數意義的名詞亦具單數名詞的意義，反之亦然。

敬啟者，

### 1. 開戶申請

本人 / 吾等為 \_\_\_\_\_（下稱「客戶」）  
，茲要求貴公司依照保證金賬戶條款和條件所載之條款和條件（下稱「條款和條件」）為本人 / 吾等開立並維持一個或多個保證金證券交易賬戶（此賬戶將與本人 / 吾等在貴公司維持的任何其他賬戶合稱為「賬戶」）及為本人 / 吾等提供一個使用電子服務的密碼及登入名稱。

### 2. 要求的服務類別

本人 / 吾等理解，貴公司可以絕對酌情不時依照賬戶條款和條件以及貴公司認為適當的其他條款，就貴公司代表本人 / 吾等進行之證券（定義見條款和條件）交易向本人 / 吾等提供財務通融。貴公司為記錄此類交易而為本人 / 吾等開立的賬戶應是保證金證券交易賬戶。本人 / 吾等希望不時按本人 / 吾等的決定在貴公司開立一個或多個賬戶，以便買賣證券。貴公司同意不時按本人 / 吾等要求，全權酌情接納本人 / 吾等以名稱 / 姓名（等）、號碼（等）或其他方式開立一個或多個賬戶並接納本人 / 吾等開立及維持該（等）賬戶；貴公司亦將根據本表格條款和條件擔任本人 / 吾等之代理人（如有本表格另行指明充任主事人（等）之情況例外），代本人 / 吾等買賣證券。

### 3. 簽署指示（只適用於聯名賬戶）

- (1) 以上每一聯名賬戶持有人均各自有權不時以口頭及 / 或透過電子服務（如適用）發出指示為賬戶買賣任何證券。
- (2)  其中一位聯名賬戶持有人單獨簽署， 所有聯名賬戶持有人共同簽署，任何就賬戶運作及賬戶款項之書面指示，方為有效。

### 4. 確認及承認

本人 / 吾等確認收妥 (i) 條款和條件；及 (ii) 證券服務收費及費用表。  
《協議和風險披露聲明》本人 / 吾等謹此承認並確定本人 / 吾等已獲得按照本人 / 吾等所選擇的語言（英文或中文）的本表格，當中包括，但不限於載於條款和條件內的風險披露聲明，及本人 / 吾等已獲邀請細閱該風險披露聲明，提出問題及徵求獨立的意見（如本人 / 吾等有此意願）。  
《常設授權》本人 / 吾等謹此承認並確定本人 / 吾等已經根據條款和條件內第二十五條的常設授權條款授權貴公司處置在條款和條件內所定義的款項、證券及證券抵押品，並且本人 / 吾等就該條款的內容已獲得解釋，及本人 / 吾等明白該條款的內容。  
本人 / 吾等茲確認已經閱讀並同意貴公司的賬戶開立表格、僅供公司 / 合夥公司賬戶使用簽字頁（如適用），已填妥客戶資料表，且已經閱讀並同意附於本表格的條款和條件。所有上述文件構成貴公司與本人 / 吾等就賬戶達成之協議。  
本人 / 吾等確認收妥有關本人 / 吾等於海通國際證券有限公司開立賬戶之開戶表格及客戶資料表的副本，並根據本人 / 吾等的選擇而以英文或中文編印。  
《個人資料私隱政策》本人 / 吾等已仔細閱讀、完全理解並同意接受及遵守海通國際證券集團之個人資料私隱政策所載有關個人資料（私隱）條例（香港法例第486章）的通知及聲明。除非本人 / 吾等在方格內另有指示，本人 / 吾等同意將本人 / 吾等的個人資料用作直接促銷用途。  
 除了任何海通國際證券集團成員可將本人的個人資料作直接促銷用途外，本人 / 吾等反對貴公司將本人 / 吾等的個人資料予其他第三者作直接促銷用途。  
 本人 / 吾等反對將本人 / 吾等的個人資料提供予任何海通國際證券集團成員及任何第三者作直接促銷用途。  
\* 簽署式樣將被用作核證任何就賬戶運作之書面指示。

日期：\_\_\_\_\_

本表格由客戶在上述日期以契約形式簽署

賬戶號碼： 02 -           - 33 -

由客戶以契約形式簽字、封印及交付

客戶簽署/簽署式樣\*

(個人)

(聯名客戶)

客戶姓名：\_\_\_\_\_

聯名客戶姓名：\_\_\_\_\_

身份證 / 護照號碼：\_\_\_\_\_

身份證 / 護照號碼：\_\_\_\_\_

在見證人的見證下：

見證人簽署：\_\_\_\_\_

見證人姓名：\_\_\_\_\_

見證人身份證 / 護照號碼：\_\_\_\_\_

見證人地址：\_\_\_\_\_

### 持牌人聲明

本人已按照客戶所選擇的語言（英文或中文）提供客戶風險披露聲明及已邀請客戶細閱該風險披露聲明，提出問題及徵求獨立意見（如客戶有此意願）。

持牌人姓名：\_\_\_\_\_ (正楷) 中央編號：\_\_\_\_\_

日期：\_\_\_\_\_

海通國際證券有限公司 確認書  
吾等確認並同意以上內容

正式獲授權代表海通國際證券有限公司

加蓋客戶公司印章并由客戶以契約的形式簽字及交付

公司客戶簽署/獲授權人簽署及公司蓋章式樣

(公司客戶)

董事姓名 / 獲授權人仕：\_\_\_\_\_

董事 / 公司秘書姓名 / 獲授權人仕：\_\_\_\_\_

身份證 / 護照號碼：\_\_\_\_\_

董事 / 公司秘書身份證 / 護照號碼：\_\_\_\_\_

在見證人的見證下：

見證人簽署：\_\_\_\_\_

見證人姓名：\_\_\_\_\_

見證人身份證 / 護照號碼：\_\_\_\_\_

見證人地址：\_\_\_\_\_

持牌人簽署

經紀：\_\_\_\_\_ 牌照號碼：\_\_\_\_\_

Official use only	
Maker	Checker
Date:	Date:



TFS-057



- 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:



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