

Beijing Securities
Beijing Securities Limited
北京證券有限公司

CE號碼: AEH900

熱線: (852) 22996000
傳真: (852) 22996099

北京證券有限公司

賬戶協議

賬戶號碼: _____

賬戶姓名: _____

Beijing Securities Limited (CE Number: AEH900)
北京證券有限公司 (CE 號碼: AEH900)

- Cash Account 現金賬戶
 Margin Account 保證金賬戶
 Electronic Service A/C (Internet Trading) 電子服務賬戶(網上交易)

For official use only	
Account No.	
Opened Date	

Individual Account 個人賬戶 / Joint Account 聯名賬戶

Part A Client Information 客戶資料			
1. Account Holder 戶口持有人		In English 英文姓名	In Chinese 中文姓名
(1) Main Account Holder 主要戶口持有人			
(2) Joint Account 聯名戶口			
2. Residential Address 住宅地址			
<input type="checkbox"/> Self owned 自置 Approx. net value (less mortgage) of Property 物業淨值約數(扣除按揭) HK \$ (港幣) _____ <input type="checkbox"/> Rented 租用 <input type="checkbox"/> Living with family / relative 與家人/親戚同住			
3. Personal Particulars 個人資料			
(1) Main Account Holder 主要戶口持有人		(2) Joint Account Holder 聯名戶口持有人	
HKID No. (or Passport No. and country issue) 香港身份證號碼(或護照號碼及簽發地點)		HKID No. (or Passport No. and country issue) 香港身份證號碼(或護照號碼及簽發地點)	
Date of Birth 出生日期	Sex 性別	Date of Birth 出生日期	Sex 性別
Nationality 國籍		Nationality 國籍	
Name of Employer (or if self employed, name of Business) 僱主名稱(若自僱, 請填業務名稱)		Name of Employer (or if self employed, name of Business) 僱主名稱(若自僱, 請填業務名稱)	
Work or Business address 工作或營業地址		Work or Business address 工作或營業地址	
Occupation (or type of Business) 職業或業務性質	Year(s) employed 任職年期	Occupation (or type of Business) 職業或業務性質	Year(s) employed 任職年期
Residential Phone No. 住宅電話	Business Phone No. 公司電話	Residential Phone No. 住宅電話	Business Phone No. 公司電話
Mobile Phone No. 手提電話	Facsimile No. 傳真號碼	Mobile Phone No. 手提電話	Facsimile No. 傳真號碼
E-mail Address 電郵地址		E-mail Address 電郵地址	
		Relationship with Account Holder 與主要戶口持有人關係	

4. Financial Background 財務狀況

Estimated Annual Income 估計每年收入(HK\$ 港幣)

- <\$200,000 \$200,000 - \$500,000
- \$500,000 - \$1,000,000 >\$1,000,000

Estimated Annual Income 估計每年收入(HK\$ 港幣)

- <\$200,000 \$200,000 - \$500,000
- \$500,000 - \$1,000,000 >\$1,000,000

Total Net Worth 淨資產值(HK\$ 港幣)

- <\$500,000 \$500,000 - \$1,000,000
- \$1,000,000 - \$5,000,000 >\$5,000,000

Total Net Worth 淨資產值(HK\$ 港幣)

- <\$500,000 \$500,000 - \$1,000,000
- \$1,000,000 - \$5,000,000 >\$5,000,000

5. Investment Objectives / Experience and Level of Risk Taking 投資目的 / 經驗及風險承受水平

Investment Objectives 投資目的

- Capital Gain 投資增值 Hedging 對沖
- Speculation 投機 Others 其他: _____

Investment Objectives 投資目的

- Capital Gain 投資增值 Hedging 對沖
- Speculation 投機 Others 其他: _____

Investment Experience 投資經驗

- Less than 1 year 少於一年 1-5 years 一至五年
- 5-10 years 五至十年 Over 10 years 多於十年

Investment Experience 投資經驗

- Less than 1 year 少於一年 1-5 years 一至五年
- 5-10 years 五至十年 Over 10 years 多於十年

Investment Products 曾買賣產品

- Shares 股票 Warrants 認股權證
- Futures 期貨/Options 期權 Others 其他: _____

Investment Products 曾買賣產品

- Shares 股票 Warrants 認股權證
- Futures 期貨/Options 期權 Others 其他: _____

6. Settlement Account Information 結算戶口資料

CCASS Account Name & No. (For Securities Account only)

中央結算戶口名稱及戶口號碼(只適用於證券賬戶):

Name of Banker 銀行名稱

Bank A/C Name 銀行戶口名稱

Account No. 戶口號碼

Please credit the cash balance to the above mentioned bank account. 請把戶口結餘存入以上銀行戶口。 Yes 是 No 否***CCASS and The bank account's beneficiary must have the same name as the account holder of this account.**

*中央結算及銀行戶口受益人必須跟本戶口持有人名稱相同。

7. Statements Collection 收取結單

Statements will be sent to Account Holder :(Please select one)

戶口結單將透過以下途徑寄往戶口持有人: (請選擇其中一項)

- By Mail 郵寄 Residential Address 住宅地址
- By E-mail 電郵 _____ Others 其他 _____
- Fax 傳真 _____

Part D Declaration 聲明

1. Identity Declaration 身份聲明

1.a Is the Client the ultimate and sole beneficial owner(s) of the Securities Cash Account ?

客戶是否證券現金賬戶的最終及唯一受益擁有人？

Yes
是

No, the particulars of the ultimate and sole beneficial owner(s) are as follows:
否，最終及唯一受益擁有人的資料如下：

Name 姓名

HKID / Passport No. 香港身份證 / 護照號碼

Address 地址

Telephone 電話

1.b Is the Client ultimately responsible for all Instructions for the operation of the Securities Cash Account?

客戶是否最終負責為證券現金賬戶的運作發出一切指示？

Yes
是

No, the particulars of the person(s) ultimately responsible for all Instructions for the operation of the said Account(s) are as follows:

否，最終負責為上述賬戶的運作發出一切指示的人士的資料如下：

Name 姓名

HKID / Passport No. 香港身份證 / 護照號碼

Address 地址

Telephone 電話

1.c Does the Client have any relationship with the director(s) or employee(s) of Beijing Securities Limited or its associated companies?

客戶是否與北京證券有限公司或其聯營公司之董事或僱員有任何關係？

No
否

Yes, the Client has the following relationship with the director(s) or employee(s) of Beijing Securities Limited or its associated companies:

是，客戶與北京證券有限公司或其聯營公司之董事或僱員有以下關係：

(Name of Director or Employee 董事或僱員姓名 / relationship 關係)

1.d Is the Client a director or an employee or an accredited person of any exchange participant of the Stock Exchange or any licensed or registered person of the Securities and Futures Commission?

客戶是否聯合交易所之交易所參與者或證監會之持牌人或註冊人之董事、僱員或認可人士？

No
否

Yes, the Client is a director or an employee or an accredited person of the following exchange participant of the Stock Exchange or licensed or registered person of the Securities and Futures Commission: (please provide details)

是，客戶為以下聯合交易所之交易所參與者或證監會之持牌人或註冊人之董事、僱員或認可人士：(請詳述)

2. Other Account 其他戶口

Particulars of any and all other accounts (whether individual, joint, corporate, trustee) beneficially held, owned or operated by me for or on my behalf or for any another person(s), body or corporation or in which I have an interest (whether direct or indirect) with Beijing Securities Limited.

任何及所有其他在北京證券有限公司開設，由本人或本人代表他人、團體或公司實益持有、擁有或運作、或本人擁有直接或間接利益的戶口(無論個人、聯名、公司、託管)的詳情。

Account Name 戶口名稱

Account Number 戶口號碼

3. Client's Declaration, Confirmation and Agreement 客戶聲明及確認

- 3.a The Customer has read, understood and agreed to be bound by all the Terms and Conditions on this Agreement governing the Account and agreed to follow the relevant Terms and Conditions on it.

客戶已經細閱、明白及接受在此協議書上的規管賬戶的章則條款，並同意遵守有關章則條款。

- 3.b The Customer hereby confirms that the information above given is true, correct and complete and authorize the Company to verify the same from any source it may consider fit. The Customer also undertakes to notify the Company immediately of any changes to the above information.

客戶確認上述資料乃屬真確、正確及完整，並授權公司可向任何方面證實，客戶亦承諾如上述資料有任何改變，會立即通知公司。

- 3.c The Customer(s) hereby confirm(s) that the Risk Disclosure Statements annexed to the Agreement have been provided in the language of the Customer(s) choice (English or Chinese) and the Customer(s) has/have been invited to read the Risk Disclosure Statements, to ask questions and to take independent advice if the Custome(s) wish(es).

客戶確認已按照客戶選擇的語言(英文或中文)解釋了在此賬戶協議的風險披露聲明，及已獲邀請細閱風險披露聲明、提出問題及徵求獨立的意見(如客戶有此意願)。

- 3.d The Customer(s) confirm(s) that the ultimate beneficial owner(s) of the Account is/are not currently employed by any licensed or registered person carrying out regulated activities as defined in the Securities and Futures Ordinance ("Ordinance"). Otherwise, the Customer(s) understand(s) that the Customer(s) is/are required to provide to the Company written consent(s) from the employer of the ultimate beneficial owner(s) before the Customer(s) can open the Account, The Customer(s) undertake(s) to promptly notify the Company if the ultimate beneficial owner(s) become(s) or cease(s) to be employed by any licensed or registered person to carry out Regulated activities.

客戶確認現時最終擁有賬戶實際受益人不是受僱於任何從事證券及期貨條例(「該條例」)界定的受規管活動的持牌法團或註冊機構。否則，客戶明白須向公司提供其僱主所發出的同意書方可以於本公司開立賬戶，客戶並承諾如將來受僱或不再受僱於任何從事受規管活動的持牌法團或註冊機構時，會立即通知公司。

Note: A licensed person means a licensed corporation licensed under the Ordinance. A registered person means a registered institution registered under the Ordinance.

注意：持牌人士指根據該條例獲發給牌照的持牌法團。註冊人士指根據該條例註冊的註冊機構。

Check List for Individual / Joint Account 個人 / 聯名賬戶文件檢查列表

- Copy of HK Identity Card / Copy of Passport / Copy of China Identity Card
香港身份証副本 / 護照副本 / 中國身份証副本
- Proof of Address
住址證明
- Personal Cheque (Suitable for clients opened via Internet)
個人支票 (適用於互聯網開啟之客戶)

FOR INTERNAL USE ONLY (北京證券內部專用)

<input type="checkbox"/> Cash A/C				<input type="checkbox"/> Margin A/C		<input type="checkbox"/> Electronic Service A/C	
Commission Rate		Min. Brokerage		A.E Rebate		Signed by:	
						A/E Code:	
Trade Limit		Margin Finance Limit				Approved by:	
						Date:	
Input by:						Checked by:	
Date:						Date:	
Remark:							

Beijing Securities Limited (CE Number: AEH900)
北京證券有限公司 (CE 號碼: AEH900)

- Cash Account 現金賬戶
 Margin Account 保證金賬戶
 Electronic Service A/C (Internet Trading) 電子服務賬戶(網上交易)

For official use only	
Account No.	
Opened Date	

Corporate Account 公司帳戶

Name of Company / Corporation 公司名稱		
(In English 英文名稱)		
(In Chinese 中文名稱)		
Principal Place of Business 主要營業地址		
1. Company Information 公司資料		
Place of Incorporation 註冊地點		Date of Incorporation 註冊日期
Certificate of Incorporation No. 公司註冊證編號	Business Registration No. (Hong Kong) 商業登記證編號(香港)	
Brief Description of Nature of Business 簡介公司業務性質		
Business Phone No. 營業電話	Facsimile No. 傳真號碼	E-Mail Address 電郵地址
Nature of Entity 公司性質		
<input type="checkbox"/> private limited company 私人有限公司 <input type="checkbox"/> public limited company 公眾有限公司 <input type="checkbox"/> public listed company 上市公司 <input type="checkbox"/> association 商會 <input type="checkbox"/> society 社團 <input type="checkbox"/> overseas 海外註冊有限公司		
The individuals who are directly or indirectly hold 10% or more of the shares in issue or equity interest of the Company 直接或間接持有百分之十或以上公司已發行股份或公司之股本權益人士		
Name 姓名	HKID 香港身份證 / Passport No 護照號碼	%百分比
1. _____	_____	_____
2. _____	_____	_____
3. _____	_____	_____
Name(s) of All Director 全體董事姓名		HKID 香港身份證 / Passport No 護照號碼
1. _____		_____
2. _____		_____
3. _____		_____
Name of Principal Contact Person 主要聯系人姓名	Position 職位	Telephone number 電話號碼
_____	_____	_____
_____	_____	_____

6. Trading Authorization 交易授權

The following person(s) is or are authorized on behalf of the company to give written and / or verbal instructions in relation to the trading of the account.

本公司現授權下列人士代表本公司以書面及/或口頭發出與本戶口交易有關的指示。

Name 姓名	HKID /Passport No. 香港身份證 / 護照號碼	Contact No. 聯絡電話	Position 職位	Specimen Signature 簽名式樣

7. Specimen Authorized Signatures 授權簽名式樣

(1) Specimen Signature 簽名式樣	(2) Specimen Signature 簽名式樣
Name 姓名	Name 姓名
(3) Specimen Signature 簽名式樣	Specimen of Business Chop/Seal 業務印章式樣
Name 姓名	

8. Declaration 聲明

1. Identity Declaration 身份聲明

1.a Is the Client the ultimate and sole beneficial owner(s) of the Securities Cash Account ?

客戶是否證券現金賬戶的最終及唯一受益擁有人？

Yes
是

No, the particulars of the ultimate and sole beneficial owner(s) are as follows:
否，最終及唯一受益擁有人的資料如下：

Name 姓名

HKID/Passport No. 香港身份證/護照號碼

Address 地址

Telephone 電話

1.b Is the Client ultimately responsible for all Instructions for the operation of the Securities Account?

客戶是否最終負責為證券帳戶的運作發出一切指示？

Yes
是

No, the particulars of the person(s) ultimately responsible for all Instructions for the operation of the said Account(s) are as follows:

否，最終負責為上述帳戶的運作發出一切指示的人士的資料如下：

Name 姓名

HKID/Passport No. 香港身份證/護照號碼

Address 地址

Telephone 電話

1.c Does the Client have any relationship with the director(s) or employee(s) of Beijing Securities Limited or its associated companies?

客戶是否與北京證券有限公司或其聯營公司之董事或僱員有任何關係？

No
否

Yes, the Client has the following relationship with the director(s) or employee(s) of Beijing Securities Limited or its associated companies:

是，客戶與北京證券有限公司或其聯營公司之董事或僱員有以下關係：

(Name of Director or Employee 董事或僱員姓名 / relationship 關係)

1.d Is the Client a director or an employee or an accredited person of any exchange participant of the Stock Exchange or any licensed or registered person of the Securities and Futures Commission?

客戶是否聯合交易所之交易所參與者或證監會之持牌人或註冊人之董事、僱員或認可人士？

No
否

Yes, the Client is a director or an employee or an accredited person of the following exchange participant of the Stock Exchange or licensed or registered person of the Securities and Futures Commission: (please provide details)

是，客戶為以下聯合交易所之交易所參與者或證監會之持牌人或註冊人之董事、僱員或認可人士：(請詳述)

2. Other Account 其他戶口

Particulars of any and all other accounts (whether individual, joint, corporate, trustee) beneficially held, owned or operated by me for or on my behalf or for any another person(s), body or corporation or in which I have an interest (whether direct or indirect) with Beijing Securities Limited.

任何及所有其他在北京證券有限公司開設，由本人或本人代表他人、團體或公司實益持有、擁有或運作、或本人擁有直接或間接利益的戶口(無論個人、聯名、公司、託管)的詳情。

Account Name 戶口名稱

Account Number 戶口號碼

3. Client's Declaration, Confirmation and Agreement 客戶聲明及確認

- 3.a The Customer has read, understood and agreed to be bound by all the Terms and Conditions on this Agreement governing the Account and agreed to follow the relevant Terms and Conditions on it.

客戶已經細閱、明白及接受在此協議書上的規管賬戶的章則條款，並同意遵守有關章則條款。

- 3.b The Customer hereby confirms that the information above given is true, correct and complete and authorize the Company to verify the same from any source it may consider fit. The Customer also undertakes to notify the Company immediately of any changes to the above information.

客戶確認上述資料乃屬真確、正確及完整，並授權公司可向任何方面證實，客戶亦承諾如上述資料有任何改變，會立即通知公司。

- 3.c The Customer(s) hereby confirm(s) that the Risk Disclosure Statements annexed to the Agreement have been provided in the language of the Customer(s) choice (English or Chinese) and the Customer(s) has/have been invited to read the Risk Disclosure Statements, to ask questions and to take independent advice if the Custome(s) wish(es).

客戶確認已按照客戶選擇的語言(英文或中文)解釋了在此賬戶協議的風險披露聲明，及已獲邀請細閱風險披露聲明、提出問題及徵求獨立的意見(如客戶有此意願)。

- 3.d The Customer(s) confirm(s) that the ultimate beneficial owner(s) of the Account is/are not currently employed by any licensed or registered person carrying out regulated activities as defined in the Securities and Futures Ordinance ("Ordinance"). Otherwise, the Customer(s) understand(s) that the Customer(s) is/are required to provide to the Company written consent(s) from the employer of the ultimate beneficial owner(s) before the Customer(s) can open the Account, The Customer(s) undertake(s) to promptly notify the Company if the ultimate beneficial owner(s) become(s) or cease(s) to be employed by any licensed or registered person to carry out Regulated activities.

客戶確認現時最終擁有賬戶實際受益人不是受僱於任何從事證券及期貨條例(「該條例」)界定的受規管活動的持牌法團或註冊機構。否則，客戶明白須向公司提供其僱主所發出的同意書方可以於本公司開立賬戶，客戶並承諾如將來受僱或不再受僱於任何從事受規管活動的持牌法團或註冊機構時，會立即通知公司。

Note: A licensed person means a licensed corporation licensed under the Ordinance. A registered person means a registered institution registered under the Ordinance.

注意：持牌人士指根據該條例獲發給牌照的持牌法團。註冊人士指根據該條例註冊的註冊機構。

DATE this _____ of _____ of _____
日期 day(日) month(月) year(年份)

Name of Client(s) 客戶姓名)	
)	
)	
1. _____)	_____
(Main Account Holder 主要戶口持有人))	Client's Signature(s) 客戶簽署
)	
)	
2. _____)	_____
(Joint Account 聯名戶口))	Client's Signature(s) 客戶簽署
)	
)	
)	
)	
_____)	_____
Name of Witness 見證人姓名)	Witness Signature 見證人簽署

4. Declaration by Licensed Representative 持牌代表聲明

The Employee hereby declares that the Risk Disclosure Statements annexed to this Agreement have been explained in the language of the Customer's choice (English or Chinese) and have been provided to the Customer and the Customer has been invited to read the Risk Disclosure Statements, to ask questions and to take independent advice if the Customer wishes.

僱員現聲明已按照客戶選擇的語言 (英文或中文) 解釋了在此賬戶協議的風險披露聲明, 及已邀請其細閱風險披露聲明、提出問題及徵求獨立的意見 (如客戶有此意願)。

Name of licensed or registered person
註冊人姓名

Signature of licensed or registered person
註冊人簽署

Date 日期

CE Number CE 號碼

Acknowledged and Accepted By
Beijing Securities Limited
由北京證券有限公司
確認及接受

Authorized Director Signature(s)
獲授權董事簽署

Check List for Corporate Account 公司賬戶文件檢查列表

- Copy of the Company's structure and M&A
公司組織大綱及章程副本
- Copy of Certificate of Incorporation and Change name/Registration certificate
公司註冊證書副本及公司更改名稱/註冊證書副本
- Copy of Annual Return (Form AR1) and Copy of Notification of Change of Secretary and Director (Form D2A)
周年申報表副本 (AR1表格) 與秘書及董事 更改通知書副本 (D2A表格)
- Copy of Business Registration
商業登記證副本
- Board Resolution
董事局決議書
- Copy of Identity Cards of Authorized Signatories and Director's
授權人仕及所有董事之身份證副本
- Major Shareholder and Ultimate Beneficiary Information
公司主要股東及最終受益人資料

FOR INTERNAL USE ONLY (北京證券內部專用)

<input type="checkbox"/> Cash A/C <input type="checkbox"/> Margin A/C <input type="checkbox"/> Electronic Service A/C			
Commission Rate	Min.Brokerage	A.E Rebate	Signed by:
			A/E Code:
Trade Limit	Margin Finance Limit		Approved by:
			Date:
Input by:			Checked by:
Date:			Date:
Remark:			