

Additional Trading Account Application Form 戶口新增申請表

Account Name 帳戶名稱: _____

Account No. 帳戶號碼: _____

AE Name 經紀名稱: _____

AE Code 經紀代號: _____

ACCOUNT TYPE

帳戶類別

Please check one or more boxes below:
可選擇超過一項:

| | | | |
|--|---|--|--|
| <input type="checkbox"/> Cash Account – HK Securities 現金帳戶 - 香港證券 | <input type="checkbox"/> Margin Account – HK Securities 孖展帳戶 - 香港證券 | <input type="checkbox"/> Margin Account – HK Futures & Options 孖展帳戶 - 香港期貨及期權 | <input type="checkbox"/> Option Account – HK Stock Options 期權帳戶 - 香港股票期權 |
| <input type="checkbox"/> Cash Account – Foreign Securities 現金帳戶 - 外國證券 | <input type="checkbox"/> Margin Account – Foreign Securities 孖展帳戶 - 外國證券 | <input type="checkbox"/> Margin Account – Foreign Futures & Options 孖展帳戶 - 外國期貨及期權 | <input type="checkbox"/> Option Account – US Stock Options 期權帳戶 - 美國股票期權 |
| <input type="checkbox"/> Cash Account – CIES* 現金帳戶 - 投資移民 | <input type="checkbox"/> Shanghai-HK Stock Connect/ Shenzhen-HK Connect (China Connect) 滬港通及/或深港通 | <input type="checkbox"/> Discretionary Investment Management Account# 全權委託投資管理戶口 | |

*Please also sign a Client Agreement in respect of the Capital Investment Entrant Scheme (“CIES”)
請同時簽署有關資本投資者入境計劃之客戶協議

Please also sign the Discretionary Investment Management Agreement
請同時簽署有關全權委託投資管理戶口協議

RISK DISCLOSURE STATEMENT

風險披露聲明書

You acknowledge and confirm that you have been provided the relevant Risk Disclosure Statement in a language of your choice (English or Chinese) as set out in the Master Agreement. You also acknowledge that you have been invited to read the relevant Risk Disclosure Statement, to ask questions, and to take independent advice if you wish.

閣下承認及確認已獲提供其所選擇語言(英文或中文)綜合協議之條款及條件中有關的風險披露聲明書。閣下亦確認獲邀閱讀綜合協議中有關的風險披露聲明書，提出問題及徵求獨立的意見(如閣下有此意願)。

MARGIN AND OPTION ACCOUNT

保證金及期權帳戶

Where a Margin Account is to be opened, I/we hereby authorize and agree that in respect of any collateral deposited with the Company by me/us (or on my/our behalf) and for a period of 12 months from the date of this Agreement, the Company shall be entitled to:

如我/我們欲開立之帳戶為保證金帳戶，我/我們在此授權本公司並同意，我/我們(或代表我/我們)存放於本公司的抵押品，由本協議簽訂之日期起計為期12個月，本公司有權：

- deposit any of the collateral with an authorized financial institution (as defined in the Securities and Futures Ordinance) as collateral for any financial accommodation provided to the Company; or
將任何有關證券抵押品存放於認可財務機構(定義見證券及期貨條例)，作為提供予本公司的財務通融的抵押品; 或
- deposit the collateral with (1) a recognized clearing house or (2) another intermediary licensed by or registered with the SFC for dealing in securities as collateral for the discharge and satisfaction of the Company’s settlement obligations and liabilities,
將任何有關證券抵押品存放於 (1) 認可結算所或 (2) 另獲香港證券及期貨事務監察委員會發牌或註冊進行證券交易的中介人，作為解除本公司在交收上的義務和清償本公司在交收上的法律責任的抵押品，
such authorisation may be renewed in writing for one or more further periods of not exceeding 12 months at any one time in accordance with the applicable rules.
根據有關規則，該授權可以書面方式延續一次或多於一次，每次不得超過12個月。

Where a Margin Account and/or Option Account is to be opened, I/we agree to the terms of futures/options trading and US stock options trading (where applicable) as set out in Sections G and H of the Master Agreement. I/we acknowledge, agree and confirm that:

如我/我們欲開立保證金帳戶及/或期權帳戶，我/我們同意綜合協議的 G 和 H 部分所述的期貨/期權交易和美國股票期權交易之條款(如適用)。我/我們承認，同意並確認：

- (i) the Company does not have to notify me/us of any failure to meet margin requirements prior to the Company exercising its rights under this Agreement.
在本公司行使本協議項下的權利之前，本公司無需通知我/我們未能達到保證金要求。
- (ii) the Company will not issue margin calls where it is impracticable to do so and the Company is authorized to liquidate Account positions in order to satisfy margin requirements without prior notice.
本公司不會在不可行的情況下發出追加保證金通知，而本公司有權清算帳戶持倉以滿足保證金要求，而不作另行通知。
- (iii) where a transaction is denominated in a foreign currency, you will be exposed to currency risk and conversion of one currency to another may be delayed or services unavailable based on certain transaction conditions, including currency availability, regulatory and foreign exchange issue, service periods or differences in time zones. I/we will bear solely the risk of delay or loss of such currency conversion.
如果交易以外幣計價，您將面對貨幣風險，根據某些交易條件，包括貨幣可用性、監管和外匯問題、服務期限或時區差異，可能會無法轉換一種貨幣到另一種貨幣或產生延遲。我/我們將獨自承擔此類貨幣轉換延遲或損失的風險。

Signature(s) of individual and all joint account holders
個人及所有聯名帳戶持有人簽署

Name(s) 姓名：

Date 日期：

For Internal Use Only

| Settlement Department | | | Responsible Officer |
|------------------------|--------------|-------------|---------------------|
| Signature Verified by: | Inputted by: | Checked by: | Approved by: |
| Date | Date | Date | Date |