



百惠金控  
PATRONS

Patrons Securities Limited 百惠證券有限公司

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中央編號 CE No. : BPQ161

Patrons Securities Limited ("PATRONS") is a licensed Corporation for Types 1 regulated activities under the Securities and Futures Ordinance.  
百惠證券有限公司 (百惠) 為一家根據《證券及期貨條例》獲發牌進行第 1 類受規管活動的持牌法團

<b>ACCOUNT OPENING FORM</b> 開戶資料表格 <b>CORPORATE ACCOUNT</b> 公司帳戶	For internal use only 內部使用
	Account No. 戶口號碼：
	AE Code 客戶主任編號：
	Date Opened 開戶日期：

<b>(1) CORPORATE ACCOUNT DETAILS 公司帳戶資料</b>			
Account Type 戶口種類	<input type="checkbox"/> House A/C 主帳戶	<input type="checkbox"/> Client A/C 代理人帳戶	
Account Type 戶口種類	<input type="checkbox"/> Cash A/C 現金帳戶	<input type="checkbox"/> Margin A/C 保證金帳戶	
Additional Services 附加服務	<input type="checkbox"/> Internet Trading Services 網上交易服務	<input type="checkbox"/> US Securities Trading 美股證券交易	

<b>(2) CORPORATE INFORMATION 公司資料</b>			
Company Name (English) 公司名稱 (英文)			
Company name (Chinese) 公司名稱(中文)			
Type of Entity 機構類別			
<input type="checkbox"/> Private Ltd Co. 私人有限公司	<input type="checkbox"/> Partnership 合夥人	<input type="checkbox"/> Association/Club/Society 組織/俱樂部/社團	
<input type="checkbox"/> Sole Proprietorship 獨資企業	<input type="checkbox"/> Trust Account 信託帳戶	<input type="checkbox"/> Others (please specify) 其他(請注明)	
<input type="checkbox"/> Government/Statutory Board 政府/法定組織	<input type="checkbox"/> Listed Co. 上市公司		
<input type="checkbox"/> Public Ltd Co. 公眾有限公司			
Business Registration No. 商業登記號碼	Certificate of Incorporation No. 公司註冊號碼	Country of Incorporation 註冊國家	Date of Incorporation 註冊成立日期
			Y 年 M 月 D 日
Registered Address 註冊地址			
Business Address in HK (if different) 香港營業地址 (如有異於上述)			
Nature of Business 業務性質		No. of Years in the Business 經營業務年期	
Contact Person 聯絡人		Position 職位	Contact Person Tel. No. 聯絡人電話號碼
Office Tel. No. 辦公室電話號碼	Fax No 傳真號碼	E-mail address 電郵地址:	

<b>(3) STANDING PAYMENT INSTRUCTION 常設收款指示</b>		
Please pay the money received on my/our behalf into the following bank account opened in my/our own name upon my request. 請在本人要求時將為本人/吾等代收的款項轉帳到下列以本人/吾等名義開設的銀行帳戶。		
Name of Bank 銀行名稱	Bank Account Name. 銀行帳戶名稱	Bank Account No. 銀行帳戶號碼:
HKD 港幣 : _____	_____	_____
USD 美元 : _____	_____	_____
RMB 人民幣 : _____	_____	_____

<b>(4) MAILING METHOD 通訊方式</b>		
All correspondence of the account including statements, confirmations, notices, contracts etc to be mailed to: 請將帳戶之信件, 包括結算單、確認書、通知書及契約書等發送至:		
(Select either one 只選一項)		
1. <input type="checkbox"/> E-mail address 電郵地址	2. <input type="checkbox"/> Registered address 註冊地址	3. <input type="checkbox"/> Business address 商業地址
4. <input type="checkbox"/> Other address, please specify (其他地址, 請說明) _____		
*( Mailing Statement fee 郵寄結單費: HK\$50.00/month 每月)		
Statements Language 結算單語言	:	<input type="checkbox"/> T. Chinese 繁體 <input type="checkbox"/> S. Chinese 簡體中文 <input type="checkbox"/> English 英文



A/C No. 戶口號碼：

A/C Name 戶口姓名：

**(5) List of Directors / Sole Proprietors / Partners / Chairmen of Association / Club / Society**

公司董事 / 獨資企業經營者\* / 合夥人 / 俱樂部 / 社團 / 慈善團體主席 資料

Name 姓名	Passport/ID Card No. 護照/身份證號碼	Nationality 國籍	Home Address 住址
(1)			
(2)			
(3)			
(4)			

**(6) Particulars of Shareholder(s) holding 10% or more 持有 10% 或以上股份的股東的詳情**

Name 姓名	Passport/ID Card No. 護照/身份證號碼	Nationality 國籍	Home Address 住址	Shareholding 所佔股權(%)
(1)				
(2)				
(3)				
(4)				

**(7) Ultimate Beneficial Owner(s) of the Account(s) 帳戶的最終受益擁有人**

Name 姓名	Passport/ID Card No. 護照/身份證號碼	Nationality 國籍	Occupation 職業	Home Address 住址	Relationship between the Client and the ultimate Beneficial owner(s) 客戶與最終實 益擁有人之關係
(1)					
(2)					
(3)					
(4)					

**(8) List of Authorized Person(s) 獲授權代表資料**

Name(s) and signature(s) of Authorized Person(s) who may sign this form and other Instructions on behalf of the corporate applicant.  
請填寫將代表申請公司簽署本申請表及其他指示的獲授權人士之姓名及簽署。

Name of Authorized Person(s) 被授權人姓名	Identity Card/Passport No. 身份證/護照號碼	Nationality 國籍	Position 職位	Contact Tel. No 聯絡電話號碼	Signature 簽署
(A)					
(B)					
(C)					
(D)					
(E)					



A/C No. 戶口號碼 :

A/C Name 戶口姓名:

**(9) SIGNING ARRANGEMENT 簽名安排**

- Anyone can sign singly 單簽  
 Any two must sign jointly 任何兩人同簽  
 其他 Others: \_\_\_\_\_

Company Chop 公司印章

With Company Chop is/are valid 附公司印章有效。

**(10) FINANCIAL INFORMATION 財政資料**

Authorized Share Capital 法定股本		Issued Share Capital 已發行股本	
Annual profit after tax 全年除稅後利潤	<input type="checkbox"/> < HKD250,000 <input type="checkbox"/> HKD500,001 – HKD1,000,000 <input type="checkbox"/> HKD	<input type="checkbox"/> HKD250,001 – HKD500,000 <input type="checkbox"/> HKD1,000,001 – HKD2,000,000	
Net assets 淨資產	<input type="checkbox"/> < HKD500,000 <input type="checkbox"/> HKD2,500,001 – HKD5,000,000 <input type="checkbox"/> >HKD30,000,000	<input type="checkbox"/> HKD500,001 – HKD2,500,000 <input type="checkbox"/> HKD5,000,001 – HKD30,000,000	
Based on audited accounts as at _____ (Date) 根據於 _____ (日期)之審計帳目		Source of Funds 資金來源 <input type="checkbox"/> Business Owner 公司擁有人 <input type="checkbox"/> Sales Proceeds 銷售收入 <input type="checkbox"/> Investment Income 投資收入 <input type="checkbox"/> Others 其他	

**(11) INVESTMENT EXPERIENCE AND OBJECTIVES 投資經驗及目的**

Investment Knowledge 投資知識	<input type="checkbox"/> Excellent 精通 <input type="checkbox"/> Good 良好 <input type="checkbox"/> Some 較好 <input type="checkbox"/> Limited 有限 <input type="checkbox"/> None 全無
Investment Experience 投資經驗	<input type="checkbox"/> Stock 股票 _____ year(s)年 <input type="checkbox"/> FX/Bullion 外幣/黃金 _____ year(s)年 <input type="checkbox"/> Index Options / Futures 指數期權/期貨 _____ year(s)年 <input type="checkbox"/> Others 其他 _____ year(s)年 <input type="checkbox"/> Warrants/Stock Options 認股證/股票期權 _____ year(s)年    Please specify 請述明: <input type="checkbox"/> Structured Investment Products 結構性產品 _____ year(s)年
Investment Objectives 投資目的	<input type="checkbox"/> Growth 增值 <input type="checkbox"/> Income 收入 <input type="checkbox"/> Speculation 投機 <input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Other 其他
Risk Tolerance 承受風險	<input type="checkbox"/> Aggressive 高 <input type="checkbox"/> Moderate 中 <input type="checkbox"/> Conservative 低

**(12) KNOWLEDGE OF DERIVATIVES 衍生產品的認識 (Please tick the appropriate box. 請在適當空格加√)**

Trading of exchange-traded derivative products involves high risks and is not suitable for every investor. Investors should understand the related risks before trading in derivative products. The below questions are asked and targeted at the investment decision maker(s). For Corporate Account, authorised signatories who will give transaction instructions on behalf of the company. The answers filled below will be considered as the overall assessment of all investment decision maker(s) for the Account.

買賣交易所買賣之衍生產品涉及高風險，並非每個投資者皆適合。投資者買賣衍生產品前必須清楚明白有關的風險。有關問題的對象為投資決策者，若為公司帳戶，即指公司授權代表發出交易指示的簽署者。此部份的評估將被視為該帳戶的投資決策者的綜合性評估。

(Please tick the appropriate box. 請在適當空格加√)

Have you ever undergone any training or attended courses on derivative products? 閣下是否曾接受有關衍生產品的培訓/修讀課程?	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
If Yes 如是 : Name of Organization 課程機構名稱 _____ Course Name 課程名稱 _____ Year attended 年份 _____	
Have you ever obtained any working experience related to derivative products? 閣下是否曾獲取有關衍生產品的工作經驗?	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
If Yes, 如是, Name of employer 僱主名稱: _____ Position 職位 _____ Years of Employment 服務年資: _____	
Do you ever have any trading experience in structured or derivative product(s)? 閣下以往曾否有買賣結構性或衍生產品的經驗?	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
If Yes, 如是, please state the structured or derivative product(s) you traded. 請提供閣下以往有買賣的結構性或衍生產品。 <input type="checkbox"/> Callable Bull/Bear Contracts (CBBC) 牛熊證 <input type="checkbox"/> Derivative Warrants 衍生認股證 <input type="checkbox"/> Equity Linked Instruments / Notes (ELI/ELN) 股票掛鉤產品 <input type="checkbox"/> Exchange Traded Convertible Bonds 交易所買賣換股債券 <input type="checkbox"/> Exchange Traded Funds 交易所買賣基金 <input type="checkbox"/> Futures and Options 期貨或期權合約交易 <input type="checkbox"/> Rights 供股權 <input type="checkbox"/> Stock Options 股票期權 <input type="checkbox"/> Others 其他 : _____	



A/C No. 戶口號碼：

A/C Name 戶口姓名：

Have you executed five or more transactions in structured or derivative products within the past three years?  
您曾否在以往三年內執行過五宗或以上結構性或衍生產品交易？

Yes 是  
 No 否

Client Investment Intentions 客戶投資意向：

I/We **intend to trade** exchange-traded derivative products and accept to bear the relevant potential risks associated with the derivative products, even though I / we may not have the relevant knowledge.

本人/吾等**有意買賣**在交易所買賣之衍生產品，並同意承擔衍生產品所附帶的相關潛在風險，即使本人/吾等可能不具備相關知識。

I/We **do not intend to trade** exchange-traded derivative products.

本人/吾等**無意買賣**在交易所買賣之衍生產品。

**(13) RELATED ACCOUNTS DECLARATION 關連帳戶及有關披露聲明**

(Please tick the appropriate box. 請在適當空格加✓)

Is any of your company's directors or shareholders an employee or agent of an exchange participant of a stock/futures exchange, or a securities/futures dealer or investment adviser registered with the Securities & Futures Commission?

貴公司之任何董事或股東是否證券及期貨交易所參與者，或證券及期貨事務監察委員會註冊之證券或期貨交易商或投資顧問之僱員或代理人？

No 否  
 Yes 是

If yes, 如是： Participant/Licensed Corporation/Registered Institution Name (Employer)

參與者/持牌法團/註冊機構名稱 (僱主):

\_\_\_\_\_ CE No 中央編號 \_\_\_\_\_

Name of the related exchange participant or registered person (Employee)

有關之交易所參與者或註冊人為 (僱員)

\_\_\_\_\_ CE No 中央編號 \_\_\_\_\_ (If applicable 如適用)

\* (必須出示所屬持牌法團或註冊機構之授權信 Consent Letter from licensed corporation or registered institution must be provided)

Is your company a licensed corporation registered with the Securities and Futures Commission or registered institution under the Banking Ordinance? 貴公司是否為證券及期貨事務監察委員會定義之持牌法團或註冊機構？

If yes 如是： CE No.中央編號： \_\_\_\_\_

No 否  
 Yes 是

Is member of your group companies currently maintaining account(s) with our company?

貴公司集團旗下公司成員有否在本公司開設帳戶？

If yes 如是： Account name 帳戶名稱 \_\_\_\_\_ Account number 帳戶號碼 \_\_\_\_\_

No 否  
 Yes 是

Is any of your company's directors or shareholders the relative of an employee of PATRONS?

貴公司之任何董事或股東是否百惠之僱員親屬？

If yes, 如是： Name of the staff's relative 僱員之親屬姓名 \_\_\_\_\_

Name of relative's employer 親屬之僱主姓名 \_\_\_\_\_

No 否  
 Yes 是

Is any of your company's directors or shareholders been arrested/tried/sentenced/disciplined for illegal activities or violating regulatory requirements? 貴公司之任何董事或股東是否曾經涉及違法或違反監管守則而被捕/受審/被判刑/被紀律處分？

If yes, please specify 如果是，請述明具體：

No 否  
 Yes 是

Is any of your company's directors or shareholders a politically exposed person, senior government official or senior executive of a state-owned corporation? 貴公司之任何董事或股東是否政治人物、高級政府官員或國有企業高級行政人員？

If yes, please specify 如果是，請述明具體：

No 否  
 Yes 是

**(14) OTHER INFORMATION 其他資料**

Reason for Choosing PATRONS for Account Opening 閣下選擇在百惠開戶的原因：

Referred by 推薦：

Others 其他：



A/C No. 戶口號碼：

A/C Name 戶口姓名：

**(15) USE OF PERSONAL DATA 個人資料使用**

Patrons Securities Limited (“PATRONS”) intends to use my/our data and/or provide my/our data to its Affiliates (“Affiliates”, i.e. any company in which it is, now or hereafter, directly or indirectly related to PATRONS in direct marketing (includes the name, contact details, portfolio information, transaction pattern and financial background of me/us may be used in direct marketing of investment or financial related products and services of PATRONS and/or its Affiliates (including research reports and special offers)). If I/we do not wish PATRONS to use and/or transfer my/our personal data for use in direct marketing, I/we may, without charge, exercise the right to opt-out.

百惠證券有限公司(百惠)可使用本人/吾等的資料及/或提供本人/吾等的資料予任何百惠的聯營公司(「聯營公司」, 即指現時或日後, 任何直接或間接與百惠有關之公司)作直接促銷(包括本人/吾等的姓名、聯絡詳情、投資組合資料、交易模式及財務背景可被用於直接促銷百惠及/或其聯營公司的投資及有關財務產品及服務(包括研究報告及特別優惠))。若本人/吾等不願意百惠使用及/或轉送本人/吾等的個人資料作直接促銷, 本人/吾等可行使拒絕此安排的權利, 而且無須就此支付任何費用。

I/ we  CONSENT /  OBJECT to the above, PATRONS can use and/or transfer my/our personal data in **direct marketing**.

本人/吾等  同意 /  反對 上述, 百惠可使用及/或轉送本人/吾等的個人資料作出**直接促銷**。

**(16) DECLARATION BY CORPROATE CLIENT 公司客戶聲明**

1. I/We confirm that the information sets out in Account Opening Form of Patrons Securities Limited (PATRONS) is true, complete and correct. 本人/吾等確認在百惠證券有限公司(百惠) 開戶表格所填寫的資料均屬真實、完全及正確。

2. I/We understand all provisions set out in the Securities Client Agreement and Schedules of PATRONS, and accept and agree to be bound by these terms. 本人/吾等明白百惠證券客戶協議及附表所載的條文, 並接受及同意受該等文件約束。

3. I/We agree to pay such fees and charges as set out in the Fee Schedule or as PATRONS may from time to time prescribe. 本人/吾等同意按收費附表之規定或百惠可定期修訂之規定支付該等服務費。

4. I/We acknowledge that the risk disclosure statements of the Client Agreement were provided in a language of my/our choice and I/we was/were invited to read the risk disclosure statements, ask questions and take independent advice if I/we wish. 本人/吾等確認已獲提供本人/吾等揀選語言版本於客戶協議條款列明的風險聲明。本人/吾等已被請求閱讀該等風險聲明, 發問及如認為有需要諮詢獨立意見。

5. I/We confirm that I/we have read, understand and agree to all provisions on Notes Relating to the Common Reporting Standard (CRS) and the Foreign Account Tax Compliance Act (FATCA) set out in the Terms & Conditions and accept and agree to be bounded thereby. 本人/吾等確認已閱讀、明白及同意《條款及條件》中所載的《有關共同匯報標準(CRS)及美國海外帳戶稅收合規法案(FATCA)之附註》的條文, 並接受及同意受該等文件約束。

Date 日期：	Y年	M月	D日
Authorised Person Signatory(ies) 被授權簽署人簽名	Name 姓名	Position 職位	Company Chop 公司印章

**(17) SIGNED BY WITNESS 見證人簽署**

I, the undersigned, hereby confirm that I have identified the above client(s) who executed this Application Form before me, and I have reviewed the originals and certified the account opening documents for the client(s).

本人, 即下述簽署人, 謹此確認上述客戶於本人面前簽署此申請表, 及本人已參閱相關開戶文件的正本並核實該等文件。

Signature of Witness 見證人簽署	ID Card No 身份證號碼	CE No. 中央編號
	Profession /Title 專業及職銜	Date 日期
Name 姓名	Address 地址	

Where the account opening documents are not executed in the presence of an employee of the licensed or registered person, the signing of the client agreement (as defined in paragraph 6.1 of the Code of Conduct) and sighting of related identity documents should be certified by any other licensed or registered person, an affiliate of a licensed or registered person, a JP (Justice of the Peace), or a professional person such as a branch manager of a bank, certified public accountant, lawyer, notary public or chartered secretary.

如開戶文件並非在持牌人或註冊人的僱員面前簽立, 則客戶協議(如《操守準則》第6.1段所界定的)的簽立, 及有關的身份證明文件的見證, 應由其他持牌人或註冊人、持牌人或註冊人的聯繫人士、太平紳士或專業人士例如銀行分行經理、執業會計師、律師、公證人或特許秘書加以驗證。

• Sign and write "Certified True Copy" on the photocopy of the documents; 在有關副本上簽署及寫上「經核實之真實副本」;

• Sign and state his/her full name and specific designation on the original copy of the Account Opening Form, and 在開戶申請表的正本上簽署, 並註明見證人的姓名及職銜; 及

• Attach his/her business card. 附上見證人的名片。



A/C No. 戶口號碼：

A/C Name 戶口姓名：

**(18) CLIENT SECURITIES AND SECURITIES COLLATERAL 客戶證券或證券抵押品**  
**(For Securities Margin Account of PATRONS Only 僅適用於百惠證券的證券保證金買賣帳戶)**

I/We hereby authorize PATRONS and its associated entities (as defined in the Securities and Futures Ordinance) (if any) for a period commencing from the date of PATRONS's approval to this authority up to and including the last day of the eleventh (11th) month next after the date of such approval to deal with my/our securities and securities collateral from time to time received or held in Hong Kong by or on behalf of PATRONS or any of its associated entities in one or more of the following ways without further notice to or consent from me/us: 本人／吾等授權百惠證券及其有聯繫實體（按《證券及期貨條例》之定義）（如有）可於百惠證券批准本授權當天開始直至及包括隨後第十一個月份的最後一天的期間內，以下列一種或多於一種方式處理不時由百惠證券或其任何有聯繫實體代本人／吾等在香港收取或持有的證券及證券抵押品，毋須進一步通知本人／吾等或取得本人／吾等的同意：

1. to apply any of the securities or securities collateral pursuant to a securities borrowing and lending agreement;  
依據證券借貸協議運用任何有關證券或證券抵押品；

2. to deposit any of the securities collateral with an authorized financial institution as collateral for financial accommodation provided to PATRONS; and/or  
將任何有關證券抵押品存放於認可財務機構，作為提供予百惠證券的財務通融的抵押品；及／或

3. to deposit any of the securities collateral with any clearing house recognized by the Hong Kong Securities and Futures Commission or another intermediary licensed or registered for dealing in securities as collateral for the discharge and satisfaction of PATRONS's settlement obligations and liabilities. I/We hereby acknowledge that PATRONS has the practice of repledging clients' securities collateral. This authority may be renewed or deemed to have been renewed in accordance with the Securities and Futures (Client Securities) Rules but may be revoked by me/us by giving to PATRONS at least 5 business days' prior written notice of revocation  
將任何有關證券抵押品存放於獲香港證券及期貨事務監察委員會認可的結算所或另一獲發牌或獲註冊進行證券交易的中介人，作為解除百惠證券在交收上的義務和清償百惠證券在交收上的法律責任的抵押品。本人／吾等獲悉百惠證券有將證券抵押品再質押的做法。本授權可根據《證券及期貨（客戶證券）規則》的規定下予以續期或被當作已續期，惟本人／吾等可向百惠證券發出不少於 5 個工作天之事先書面通知以撤銷本授權。



A/C No. 戶口號碼：

A/C Name 戶口姓名：

**(19) HONG KONG INVESTOR IDENTIFICATION REGIME(HKIDR) AND OVER -THE -COUNTER SECURITIES TRANSACTION**

**REPORTING REGIME(OTCR)香港投資者識別碼制度及場外證券交易匯報客戶同意書**

You acknowledge and agree that Patrons Securities Limited (“PATRONS”, “we” or “us”) may collect, store, process, use, disclose and transfer personal data relating to you (including your CID and BCAN(s)) as required for PATRONS to provide services to you in relation to securities listed or traded on the Stock Exchange of Hong Kong (SEHK) and for complying with the rules and requirements of SEHK and the Securities and Futures Commission (SFC) in effect from time to time. Without limiting the foregoing, this includes –

閣下明白並同意，百惠證券有限公司(「本公司」或「我們」)為了向閣下提供與在香港聯合交易所(聯交所)上市或買賣的證券相關的服務，以及為了遵守不時生效的聯交所與證券及期貨事務監察委員會(證監會)的規則和規定，本公司可收集、儲存、處理、使用、披露及轉移與閣下有關的個人資料(包括閣下的客戶識別信息及券商客戶編碼)。在不限制以上的內容的前提下，當中包括—

(1.) Disclosing and transferring your personal data (including CID and BCAN(s)) to SEHK and/or the SFC in accordance with the rules and requirements of SEHK and the SFC in effect from time to time;

根據不時生效的聯交所及證監會規則和規定，向聯交所及/或證監會披露及轉移閣下的個人資料(包括客戶識別信息及券商客戶編碼)；

(2.) Allowing SEHK to: (i) collect, store, process and use your personal data (including CID and BCAN(s)) for market surveillance and monitoring purposes and enforcement of the Rules of the Exchange of SEHK; and (ii) disclose and transfer such information to the relevant regulators and law enforcement agencies in Hong Kong (including, but not limited to, the SFC) so as to facilitate the performance of their statutory functions with respect to the Hong Kong financial markets; and (iii) use such information for conducting analysis for the purposes of market oversight; and

允許聯交所：(i)收集、儲存、處理及使用閣下的個人資料(包括客戶識別信息及券商客戶編碼)，以便監察和監管市場及執行《聯交所規則》；(ii)向香港相關監管機構和執法機構(包括但不限於證監會)披露及轉移有關資料，以便他們就香港金融市場履行其法定職能；及(iii)為監察市場目的而使用有關資料進行分析；及

(3.) Allowing the SFC to: (i) collect, store, process and use your personal data (including CID and BCAN(s)) for the performance of its statutory functions including monitoring, surveillance and enforcement functions with respect to the Hong Kong financial markets; and (ii) disclose and transfer such information to relevant regulators and law enforcement agencies in Hong Kong in accordance with applicable laws or regulatory requirements.

允許證監會：(i)收集、儲存、處理及使用閣下的個人資料(包括客戶識別信息及券商客戶編碼)，以便其履行法定職能，包括對香港金融市場的監管、監察及執法職能；及(ii)根據適用法例或監管規定向香港相關監管機構和執法機構披露及轉移有關資料。

You also agree that despite any subsequent purported withdrawal of consent by you, your personal data may continue to be stored, processed, used, disclosed or transferred for the above purposes after such purported withdrawal of consent.

閣下亦同意，即使閣下其後宣稱撤回同意，本公司在閣下宣稱撤回同意後，仍可繼續儲存、處理、使用、披露或轉移閣下的個人資料以作上述用途。

Failure to provide PATRONS with your personal data or consent as described above may mean that PATRONS will not, or will no longer be able to, as the case may be, carry out your trading instructions or provide you with securities related services (other than to sell, transfer out or withdraw your existing holdings of securities, if any).

閣下如未能向本公司提供個人資料或上述同意，可能意味著本公司不會或不能夠再(視情況而定)執行閣下的交易指示或向閣下提供證券相關服務，惟出售、轉出或提取閣下現有的證券持倉(如有)除外。

I/We acknowledge that I/we have read and understand the content of the above .I/WE agree and consent for PATRONS to use my/our personal data on the terms of and for the purposes set out in the “Confirmation of obtaining client consent under the Hong Kong Investor Identification Regime (HKIDR) and Over-the-counter Securities Transactions Reporting Regime (OTCR)”.

我/我們確認已閱讀並理解上述之內容。我/我們確認及同意百惠證券有限公司根據「在香港投資者識別碼制度及場外證券交易匯報制度下取得客戶同意書」中的條款和目的使用我/我們的個人資料。

**For Internal Use Only 內部使用**

**(20) DECLARATION BY LICENSED PERSON 持牌人聲明**

I/We, Patrons Securities Limited representative(s), hereby declare and confirm that I/we have provided the Risk Disclosure Statement and Disclaimers in a language of the above client(s) ' choice (English or Chinese) and invited the client(s) to read the same, ask questions and take independent advice if the client(s) so wishes.

本人/吾等為百惠證券有限公司的註冊職員，並謹此聲明及確認本人/吾等已按照上述客戶所選擇的語言(英文或中文)，提供附於客戶協議書的風險披露聲明及免責聲明及邀請客戶閱讀該等聲明，提出問題及徵求獨立的意見。

Place to make the Risk Disclosure Statements to the client 與客戶作出聲明的地點

in the office of Patrons Securities Limited 在百惠證券有限公司

other location 其他地點: \_\_\_\_\_

by phone 透過電話： Record Line No 錄音電話號碼 \_\_\_\_\_ Time 時間 \_\_\_\_\_

Licensed Person Signature 持牌人簽署

Name of Licensed Person 持牌人姓名

CE No.中央編號

X

Date 日期

**(21) APPROVED AND ACCEPTED BY 核准及接納：PATRONS SECURITIES LIMITED 百惠證券有限公司**

Authorised Signature 授權人簽署

Name of Authorised Person 授權人姓名

Date 日期

X



A/C No. 戶口號碼：

A/C Name 戶口姓名：

**Documents Checklist for Opening Corporate Account 公司帳戶開戶文件檢查清單**

Securities Client Agreement and Schedules 證券客戶協議及附表 (No signature required 無需簽署)

**Completed & signed the Documents below 填妥並簽署以下之文件**

- Account Opening Form (Corporate) 開戶表格 (公司)
- Self-Certification form-Entity Account 自我證明表格-實體帳戶 (AEOI & FATCA)
- W-8BEN-E (Non U.S. Entities 非美國法人) and/or 及/或  W-8IMY (Non U.S. Entities 非美國法人)  
(For Proprietary Trading A/C 自營交易帳戶) (For Nominee / Intermediary Account 代理人/中介人帳戶)
- AML & ATF Questionnaire 防止洗黑錢及防止恐怖份子籌資活動問卷： Corporation 公司 /  Financial Institutions 金融機構

**Completed & signed the Documents below 填妥並簽署以下之表格 (if applicable 如適用)**

- CRS-CP (Controlling Person Tax Residency Self-Certification 控權人稅務居民身份自我證明)  
\* If the company is a Passive NFE, the individual(s) identified as having ultimate control of the company is/are required to provide the form (CRS-CP).  
\*若公司為被動非財務實體，該公司擁有最終控制權的個人亦需提供 (CRS-CP) 表格。
- Client Risk Profile Questionnaire (Corporate) 客戶風險取向問卷 (公司)
- Client Money Standing Authority 客戶款項常設授權 (Clients opening more than one account in PATRONS 適用於客戶於百惠開設多於一個帳戶)
- Client Securities Standing Authority (for Margin Account) 客戶證券常設授權 (保證金帳戶)
- Individual/Corporate Professional Investors (Category B) Assessment Form 個人/公司專業投資者(B類) 評估表格
- Guarantor Profile Information 擔保人資料表 &  Deed of Guarantee 擔保書

**Corporate Account Documents 公司戶口文件:**

- Certified true copy of Board Resolution / Minutes 董事會會議記錄或決議之核證副本
- Guarantee of Directors 公司董事擔保書 (if required 如需要)
- Certified true copy of Business Registration Certificate 商業登記證之核證副本 (if any 如有)
- Certified true copy of bank statement : printed with corporate's name , address and bank account number. (issued within last 3 months)  
銀行結單核證副本：列有公司名稱、地址及帳戶號碼 (最近三個月內發出)
- Certified true copy of Memorandum & Articles of Association (before March 2014) 公司章程大綱及細則之核證副本(2014年3月前)
- Certified true copy of the Latest Annual Return (Form NAR1) 最近週年報表核之核證副本 (表格 NAR1)
- Certified true copy of Audited Financial Statement (within 1 year) 審計財務報表之核證副本 (一年內) (if required 如需要)
- Certified true copy of ID Card (both sides)/Passport and residential address proof (within 3 months)  
身份證 (正背面) 或 護照副及地址證明 (三個月內) 之核證副本
- Directors  Authorized Persons  Guarantor (if any)  Shareholders & Ultimate Beneficial Owner(s) (with 10% or more voting rights)  
董事 獲授權人士 擔保人(如有) 主要股東&最終實益擁有人 (擁有 10% 或以上之投票權)
- For Overseas Company (within 6 months) 六個月內海外註冊公司 (六個月內)
- Certified true copy of Certificate of Incumbency 公司註冊證書之核證副本
- Certified true copy of Good Standing Certificate 公司存續證明書之核證副本
- Certified true copy of Register of Member & Register of Directors 股東名單及董事名單之核證副本
- Ownership and structure control Chart of the Client 公司的擁有權及控制權架構圖 (if applicable 如適用)
- Company Bank Reference 公司銀行參考 (if applicable 如適用)
- Professional Investors(Category B) 專業投資者(B類) (If applicable 如適用)
- Certified true copy of Asset Proof 資產證明之核證副本  Investment Experience Proof 投資經驗證明
- Client's cheque (account opening in a non-face to-face approach) 客戶支票 (非面對面的情況下開戶) (If applicable) (如適用)
- issued from a licensed bank in HK 由香港持牌銀行發出  payable to "Patrons Securities Limited" 支票抬頭「百惠證券有限公司」
- cheque amount not less than 支票金額不低於：HK\$10,000  client name shown on cheque 客戶名稱須顯示於支票上
- same client's signature on cheque and account Opening Form  cheque copy retained 保留支票副本
- 支票上之客戶簽名，須與證券戶口開立表格上相同  cheque cleared 支票須兌付

Where the account opening documents are not executed in the presence of an employee of the licensed or registered person, the signing of the client agreement (as defined in paragraph 6.1 of the Code of Conduct) and sighting of related identity documents should be certified by any other licensed or registered person, an affiliate of a licensed or registered person, a JP (Justice of the Peace), or a professional person such as a branch manager of a bank, certified public accountant, lawyer, notary public or chartered secretary.

如開戶文件並非在持牌人或註冊人的僱員面前簽立，則客戶協議（如《操守準則》第6.1段所界定的）的簽立，及有關的身份證明文件的見證，應由其他持牌人或註冊人、持牌人或註冊人的聯繫人士、太平紳士或專業人士例如銀行分行經理、執業會計師、律師、公證人或特許秘書加以驗證。

• Sign and write "Certified True Copy" on the photocopy of the documents; 在有關副本上簽署及寫上「經核實之真實副本」；

• Sign and state his/her full name and specific designation on the original copy of the Account Opening Form, and 在開戶申請表的正本上簽署，並註明見證人的姓名及職銜；及

• Attach his/her business card. 附上見證人的名片。





A/C No. 戶口號碼 :

A/C Name 戶口姓名:

For Internal Use Only 內部使用

CLIENT RISK CATEGORY CHECKLIST 客戶風險級別對照表			
Risk Level 風險水平	LOW 低	NORMAL 一般	HIGH 高
Risk Assessment 風險評估	<input type="checkbox"/> Financial institutions ("FI")* 金融機構 ("FI") *	<input type="checkbox"/> Individual clients 個人客戶	<input type="checkbox"/> Client has not been present for face-to-face interview/meeting for "identification purpose" 完全沒有為「身份識別的目的」而進行面對面會面的客戶
	<input type="checkbox"/> Listed companies 上市公司	<input type="checkbox"/> Limited private companies* 私人有限公司* <input type="checkbox"/> (with no director(s), shareholder(s) or beneficial owner(s) as PEPs) (沒有董事、股東或實益擁有人為政治人物)	<input type="checkbox"/> Politically Exposed Persons ("PEPs") and their close associates 政治人物 ("PEPs") 及其關係密切的人
	<input type="checkbox"/> Government and public body 政府及公共機構	<input type="checkbox"/> Partnership *合夥* <input type="checkbox"/> (with no partner(s) as PEPs) (沒有合夥人為政治人物)	<input type="checkbox"/> Companies with director(s) or shareholder(s) or beneficial owner(s) as PEPs, whose source of wealth and funds is unclear or who requires the setting up of complex structure 機構內有政治人物為董事、股東或實益擁有人，而他們的資產和資金來源並不清楚；或要求成立一個複雜的架構
	<input type="checkbox"/> Solicitor's Client accounts 律師的當事人帳戶	<input type="checkbox"/> Sole proprietorships, associations, clubs, societies, co-operative and provident societies 獨資企業、會社、會所、社團、合作社和公積金協會 <input type="checkbox"/> (with no PEPs as the beneficial owner) (沒有實益擁有人為政治人物) <input type="checkbox"/> Trust accounts * 信託帳戶*	<input type="checkbox"/> Cash intensive business such as casinos, sauna, military sector, money changer and remittance agencies 現金密集型業務包括賭場、桑拿、軍事部門、兌換商和貨幣匯兌業* <input type="checkbox"/> Companies whose place of incorporation is in countries with insufficient FATF regulations after internal country risk assessment 經本公司的國家風險評估後，機構所成立的國家被界定為沒有足夠「FATF 特別組織」管制法規的國家
Possible Customer Due Diligence 合適的客戶盡職審查	Simplified Due Diligence ("SDD") 簡化客戶盡職審查	Customer Due Diligence ("CDD") 客戶盡職審查	Enhanced Due Diligence ("EDD") 嚴格客戶盡職審查
Classification Result: 分類結果:	<input type="checkbox"/> LOW 低	<input type="checkbox"/> NORMAL 一般	<input type="checkbox"/> HIGH 高
With due diligence report 附盡職調查報告	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
*Regulated by Financial Action Task Force ("FATF") (www.fatf-gafi.org) or FATF equivalent jurisdiction which are internally assessed to be non-high risk. *被財務行動特別組織 ("特別組織") (www.fatf-gafi.org) 或對等司法管轄區管制，並經本公司界定為非高風險			
Other Comments 其他意見 :			

AE Name :		(AE Code : )		Relationship with client :	
AE Commission	<input type="checkbox"/> % Min : HK	<input type="checkbox"/> % Min : USD	<input type="checkbox"/> % Min : RMB		
Client Name		A/C No.:	A/C Opening Date :		
<input type="checkbox"/> HKD Commission	<input type="checkbox"/> Internet : % Min : HKD	<input type="checkbox"/> Phone : % Min : HKD	<input type="checkbox"/> Staff : % Min : HKD		
<input type="checkbox"/> USD Commission	<input type="checkbox"/> Internet : % Min : USD	<input type="checkbox"/> Phone : % Min : USD	<input type="checkbox"/> Staff : % Min : USD		
<input type="checkbox"/> RMB Commission	<input type="checkbox"/> Internet : % Min : RMB	<input type="checkbox"/> Phone : % Min : RMB	<input type="checkbox"/> Staff : % Min : RMB		
Traded derivative Products : <input type="checkbox"/> Rejected <input type="checkbox"/> Approved Remarks :					
Credit Limit : HKD			Trading Limit : HKD		
Welcome Letter : <input type="checkbox"/> Sent			Internet Password : <input type="checkbox"/> Sent		

Signature	Doc. Checked by C/S / AE / STAFF	Approved by Compliance	Approved by RO	Data Inputted by	Data Inputted Authorized by
	X	X	X	X	X
Name					
Date					