

**ACCOUNT OPENING APPLICATION FORM  
CORPORATE ACCOUNT**

開戶申請表格  
公司帳戶

Account Type 帳戶類別	Account No. 帳戶編號	Fees 收費
<input type="checkbox"/> Cash (Phone Trading) 現金帳戶 (電話交易)		<input type="checkbox"/> _____ % with HK\$ _____ min. 最低
<input type="checkbox"/> Online Cash 電子現金帳戶		<input type="checkbox"/> _____ % with HK\$ _____ min. 最低
<input type="checkbox"/> Margin (Phone Trading) 保證金帳戶 (電話交易)		<input type="checkbox"/> _____ % with HK\$ _____ min. 最低
<input type="checkbox"/> Online Margin 電子保證金帳戶		<input type="checkbox"/> _____ % with HK\$ _____ min. 最低

<b>Account Name</b> 帳戶姓名

<b>AE Name</b> 經紀名稱	<b>AE Code</b> 經紀編號

**Account Opening Application Form – Corporate Account**  
**開戶申請表格 - 公司帳戶**

<b>1. 公司資料</b>				
Name of Company (in English) 公司名稱(英文)		Name of Company (in Chinese) 公司名稱(中文)		
Address of Registered Office in Country of Incorporation 成立國家之註冊地址				
Business Address (if different from above) 辦事處地址 (如與上述地址不相同) Please provide address proof within the latest 3 months 請提供最近三個月之地址證明				
Hong Kong Business Registration No. 香港商業登記號碼		Certificate of Incorporation No. 註冊成立證書號碼		Nature of Business 業務性質
Date of Incorporation 註冊日期		Country of Incorporation 註冊國家		Business Phone No. 辦事處電話
Facsimile No. 傳真號碼		Name of Contact Person 聯絡人姓名		Phone No. of Contact Person 聯絡人電話
Email Address 電郵地址				
<b>2. Method of Communication 通訊方式</b>				
Please choose one of the following method of communication only 請只選擇其中一項通訊方法:				
<input type="checkbox"/> <b>By Post to Correspondence address 郵寄至通訊地址</b>				
<input type="checkbox"/> Business Address 辦事處地址				
<input type="checkbox"/> Other Address 其他地址: _____ (please provide correspondence address proof within latest 3 months 請提供最近三個月之通訊地址證明)				
<input type="checkbox"/> <b>By Email 電子郵件</b>				
Select your language 選擇語言 <input type="checkbox"/> 繁體 <input type="checkbox"/> 簡體 <input type="checkbox"/> English				
<b>3. Corporate Structure 公司結構</b>				
Particulars of Directors of the Company 公司董事資料				
Name of Director 董事姓名	HKID Card/ Passport No. 香港身份證/ 護照號碼	Place of Birth/ Nationality 出生地點/ 國籍	Contact No. 聯絡電話號碼	Residential Address 住址
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
(If there is insufficient space to complete, please continue on a separate sheet. 如空位不敷應用, 請另加紙填寫。)				
Particular of major shareholders whose shareholding is 10% or above (Not applicable to Publicly Listed Companies) 持有百分之十或以上股權的主要股東資料 (上市公司除外)				
Name(s) of Shareholder(s) 股東名稱	Address 地址		% of Shareholding 所持股份	
_____	_____		_____	
_____	_____		_____	
_____	_____		_____	
(If there is insufficient space to complete, please continue on a separate sheet. 如空位不敷應用, 請另加紙填寫。)				
<b>4. Authorized Person 獲授權人士</b>				
All instructions will follow the Client's Board Resolution/ Minutes. 所有指示以客戶的董事會決議/會議紀錄為準。				
<b>5. Disclosure of Identity 相關身份披露</b>				
a) Is any of the above-mentioned shareholder(s)/director(s) of the Client, the Client's authorized person(s), the person ultimately responsible for giving instructions for the Account(s) or the ultimate beneficial owner(s) of the Account(s) (in each case, a "Relevant Person"), a director, an employee or a representative of any intermediary licensed/registered under the Securities and Futures Ordinance? 客戶上述的任何股東/董事、客戶的獲授權人、最終負責就帳戶發出指示的人士或帳戶最終實益擁有人(統稱為「 <b>相關人士</b> 」) 是否為《證券及期貨條例》之下持牌/註冊的任何中介人的董事、僱員或代表? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes*, please provide name of the Relevant Person 是*, 請列出相關人士的名稱 _____ Name of the licensed intermediary 持牌中介機構名稱: _____ Position held at licensed intermediary 在持牌中介機構擔任的職位: _____ <b>* Please attach a consent letter of account opening from the intermediary. 請附上該中介人發出之開戶同意書</b>				
b) Is any of the above-mentioned Relevant Person, a relative of any director, employee or representative of Zhong Jia Securities Limited or its group companies? 上述任何相關人士是否與中佳證券有限公司或其集團公司之任何董事、職員或代表有親屬關係? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 _____ (please provide name of the employee and relationship with the employee 請列出該職員名稱及與此人之關係)				

c) Is any of the above-mentioned Relevant Person, his/her spouse, child, or parent, entrusted or has been entrusted with a prominent public function, which includes a head of state, head of government, judicial or military official, senior executive of a state-owned corporation and an important political party official?  
上述任何相關人士、其配偶、子女或父母，是否擔任重要公職，包括國家元首、政府首長、司法或軍事官員、國有企業高級行政人員及重要政黨幹事？  
 No 否  Yes, please specify: 是，請說明：\_\_\_\_\_

d) Is any of the above-mentioned Relevant Person, born in the U.S.? 上述任何相關人士是否出生於美國？  
 No 否  Yes, please specify: 是，請說明：\_\_\_\_\_

e) Is any of the above-mentioned Relevant Person, a U.S. citizen, a green card (United States Permanent Resident Card) holder or residing in the U.S.?  
上述任何相關人士是否美國公民、綠卡（美國永久居民卡）持有人或居住於美國？  
 No 否  Yes, please specify: 是，請說明：\_\_\_\_\_

**6. Financial Background of the Company 公司財務狀況**

Profit/Loss after tax based on the latest audited account(s) (in HK\$) 最近期經核數師作實之稅後盈虧 (以港幣計算)  
 Less than 少於 \$250,000  \$250,001 - \$500,000  \$500,001 - \$1,000,000  More than 多於 \$1,000,000

Net Asset Value based on the latest audited account(s) (in HK\$) 最近期經核數師作實之資產淨值 (以港幣計算)  
 less than 少於 \$50,000  \$50,001 - \$200,000  \$200,001 - \$500,000  \$500,001 - \$1,000,000  
 \$1,000,001 - \$5,000,000  \$5,000,001 - \$8,000,000  \$8,000,001 - \$40,000,000  more than 多於 \$40,000,000

Source of Fund 資金來源  
 Company Operation Income 公司營運資金  Others 其他 \_\_\_\_\_

Any Latest Financial Accounts Record provided? 有否提供最近的財務帳目記錄?  Yes 有  No 沒有

Ongoing Source(s) of Funds 持續資金來源:  
a) Means of fund transfer(s) 資金轉移的方式:  
 Cheque/ Bank Draft 支票/銀行本票  Telegraphic Transfer 電匯  Others 其他 (Please specify 請說: \_\_\_\_\_)

b) Country(ies) of Origin(s) 資金來源地:  
 Hong Kong 香港  Mainland China 中國內地  Macau 澳門  United States 美國  Other 其他 (Please specify 請說明: \_\_\_\_\_)

**7. Risk Tolerance Assessment 風險承受評估**

a) Investment Objective 投資目標 (Please choose one of the options only 請只選擇其中一項)  
 Long Term 長期  Medium Term 中期  Short Term 短期

b) Risk Profile 風險屬性 (Please choose one of the options only 請只選擇其中一項)  
 Conservative 保守型  Balanced 平衡型  Growth 增長型  Aggressive 進取型

**8. Investment Experience 投資經驗**

Securities Trading 證券交易	<input type="checkbox"/> Yes 有 ( ) year(s) 年/ <input type="checkbox"/> No 沒有
Futures / Options Trading 期貨 / 期權交易	<input type="checkbox"/> Yes 有 ( ) year(s) 年/ <input type="checkbox"/> No 沒有
Stock Options 股票期權交易	<input type="checkbox"/> Yes 有 ( ) year(s) 年/ <input type="checkbox"/> No 沒有
Short Sales Trading 沽空交易	<input type="checkbox"/> Yes 有 ( ) year(s) 年/ <input type="checkbox"/> No 沒有
Forex/Commodity Futures Trading 外匯/商品期貨交易	<input type="checkbox"/> Yes 有 ( ) year(s) 年/ <input type="checkbox"/> No 沒有
Bullion Trading 貴金屬交易	<input type="checkbox"/> Yes 有 ( ) year(s) 年/ <input type="checkbox"/> No 沒有
Derivative Warrants 衍生權證交易	<input type="checkbox"/> Yes 有 ( ) year(s) 年/ <input type="checkbox"/> No 沒有
Callable Bull/Bear Contracts 牛熊證交易	<input type="checkbox"/> Yes 有 ( ) year(s) 年/ <input type="checkbox"/> No 沒有
Exchange Traded Funds 交易所買賣基金交易	<input type="checkbox"/> Yes 有 ( ) year(s) 年/ <input type="checkbox"/> No 沒有
Equity Linked Instruments 股票掛鈎票據交易	<input type="checkbox"/> Yes 有 ( ) year(s) 年/ <input type="checkbox"/> No 沒有
Mutual Funds / Unit Trust 互惠基金 / 單位信託基金	<input type="checkbox"/> Yes 有 ( ) year(s) 年/ <input type="checkbox"/> No 沒有
Fixed Income Securities (e.g. Bonds) 固定收益證券 (例如債券)	<input type="checkbox"/> Yes 有 ( ) year(s) 年/ <input type="checkbox"/> No 沒有
Real Estate / Property Investment 房地產 / 物業投資	<input type="checkbox"/> Yes 有 ( ) year(s) 年/ <input type="checkbox"/> No 沒有

**9. Knowledge of Derivative Products 客戶對衍生產品的認識 (please tick as appropriate 請在適當空格加“✓”)**

The Client **will/may** trade any derivative products, and has knowledge and understands Zhong Jia Securities Limited will assess whether the Client has adequate knowledge on derivative products according to the information the Client provided below. 客戶將會或會進行買賣任何衍生產品，並知悉及明白中佳證券有限公司將根據以下的資料以評估客戶是否對衍生工具產品有認識。

Client had undergone training or attended courses related to derivative products; and/ or 客戶曾接受有關衍生產品的培訓或修讀相關課程; 及/或

Client has current or past work experience related to derivative products; and/ or 客戶現時或過去擁有與衍生產品有關的工作經驗; 及/或

Client has executed 5 or more transactions in derivative products in the past 3 years, e.g. Derivative Warrants, Callable Bull/Bear Contracts, Stock Options, Futures & Options, and Exchange Traded Funds, etc. 客戶於過去三年內曾執行5次或以上有關衍生產品的交易，例如：衍生權證、牛熊證、股票期權、期貨及期權、及交易所買賣基金等。

Client **DOES NOT WISH** to trade any derivative products 客戶不會買賣任何衍生產品。

**10. Other Services 其他服務**

Please provide (if applicable) 請提供 (如適用): \_\_\_\_\_

**11. Settlement Account Information (for fund withdrawal) 結算帳戶資料 (用作資金提取)**  
All instructions will follow the Client's Board Resolution/ Minutes. 所有指示以客戶的董事決議/ 會議紀錄為準。

Currency 貨幣	Name of Bank 銀行名稱	Account No. 帳戶號碼	Name of Account Holder 帳戶持有人名稱
HKD 港幣			
USD 美元			
CNY 人民幣			
Other 其他(Please specify 請說明): _____			

**12. Disclosure of Group Related Margin Clients\* 關連保證金客戶聲明\*****(for Margin Account only 只適用於保證金帳戶)**

For the purpose of complying with the requirements of Financial Resources Rules ("FRR") in regards to "Group of Related Margin Clients",

I/We \_\_\_\_\_ (A/C No. \_\_\_\_\_) hereby declare that:

I/We  DO NOT HAVE/ HAVE related margin account(s) with Zhong Jia Securities Limited. If you have, please state:

為符合財政資源規則下有關一組關連保證金客戶\*的要求，

本人/吾等 \_\_\_\_\_ (帳戶號碼: \_\_\_\_\_) 特此聲明:

本人/吾等  沒有/ 持有任何關連保證金戶口於中佳證券有限公司。如有，請說明:

Account No. 帳戶號碼	Name 名稱	Relationship 關係

\* "Group of Related Margin Clients" as defined in FRR means: (a) where it is a group of two margin clients, one is the spouse of the other; (b) where one or more of the margin clients are corporations, one is in control, either alone or with his/her spouse, of 35% or more of the voting rights of that other margin client or each of the other margin clients; or (c) where the margin clients are corporations, they are members of the same group of companies.

\* 財政資源規則所定義的「一組關連保證金客戶」是指: (a) 如該組只有2名保證金客戶，其中一名保證金客戶是另一名的配偶; (b) 如該等保證金客戶中有一名或多於一名是法團，其中一名保證金客戶單獨或其配偶控制其餘的一名或每名保證金客戶的35%或以上的表決權; 或 (c) 如該等保證金客戶均為法團，該等保證金客戶是同一公司集團的成員。

**13. Declaration, Undertaking, Authorization and Execution 聲明、承諾、授權及執行**

Prior to signing this Account Opening Form, please: 於簽署此開戶表格前，敬請：

- (i) note that all transactions to be concluded with or through Zhong Jia Securities Limited (ZJ) shall be subject to the terms and conditions of the Client Agreement (as defined below); and 注意所有與中佳證券有限公司（“貴公司”）完成或透過貴公司進行之交易均受客戶協議（定議請參閱下文）之條件及條款所限制；及
- (ii) read the Client Agreement (including Risk Disclosure Statement) which you have been provided in a language (English or Chinese) of your choice carefully, ask questions and take independent advice if you so wish. 細閱已按照閣下所選擇的語言（英文或中文）而提供予閣下的客戶協議（包括風險披露聲明），提出問題及徵求獨立的意見（如閣下有此意願）。

I/We declare and acknowledge that: 本人/吾等聲明及確認：

- I / We acknowledge my / our receipt of the Client Agreement of ZJ (including all sections thereunder and appendices thereto), the Risk Disclosure Statement, the Client Information Statement, the Account Opening Form and any other agreements or documents related to the opening of the account(s), whenever applicable (collectively the "Client Agreement") and confirm that the Client Agreement (including Risk Disclosure Statement) were provided to me / us in a language (English or Chinese) of my / our choice and I / we was / were invited to read the Client Agreement (including Risk Disclosure Statement) and General Knowledge on Derivatives Course (if applicable) carefully, ask questions and take independent advice if I / we so wish. 本人/吾等確認已收受貴公司之客戶協議（包括協議所有部份及附錄）、風險披露聲明、客戶資料聲明、開戶表格及其他與是次開戶有關的協議及文件（如適用）（合稱「客戶協議」）及確認客戶協議（包括風險披露聲明）是按照本人/吾等所選擇的語言（英文或中文）而提供，並已邀請本人/吾等閱讀該客戶協議（包括風險披露聲明）及一般衍生工具知識課程（如適用），提出問題及徵求獨立的意見（如本人/吾等有此意願）。
- I / We confirm that I / we have carefully read, fully understood and accepted all the terms and provisions contained in the Client Agreement (including Risk Disclosure Statement) and shall be bound by the Client Agreement (including Risk Disclosure Statement) as it may be amended from time to time. 本人/吾等確認本人/吾等已仔細閱讀，充分理解並接受載於客戶協議內（包括風險披露聲明）的所有條款及規定，並同意遵守客戶協議（包括風險披露聲明）可能會不時修訂的所有條款及規定。
- [For Margin Account] I/We have read and understood the content of the Authorization for Client Securities (as per ANNEX 1), i.e. the "Standing Authority" for Margin Account and am/are aware of the relevant risks in providing you with such authority. I/We understand that such authority will be renewed annually under the regulatory requirement and agree to be bound by its terms. [適用於保證金帳戶] 本人/吾等已閱讀及明白於附件一之「客戶證券授權書」的內容，即就保證金帳戶作出的「常設授權」，同時亦了解其相關的風險就所作出的授權。本人/吾等明白此授權會按照監管要求下每年續期，並同意接受該授權書內的條款所約束。
- I / We confirm that I / we have carefully read, fully understood and accepted the explanations contained in "the Definitions of Risk Tolerance Assessment" 本人/吾等確認本人/吾等已仔細閱讀，充分理解並接受載於「風險承受能力評估的說明」的釋義。
- I / we further acknowledge and agree that: 本人/吾等進一步確認及同意：
  - in the event of ZJ default and me / us having incurred a loss as a result thereof, the liability of the Investor Compensation Fund established under the Securities and Futures Ordinance (where applicable) will be restricted to the extent provided for therein, and 若因貴公司之失誤而導致本人/吾等蒙受損失，賠償責任將限於根據證券及期貨條例成立之投資者賠償基金規定的範圍內（如適用）；及
  - where securities are deposited with ZJ or purchased pursuant to the Client Agreement and held outside Hong Kong, I / we may not be afforded equivalent protection in respect of those securities as that afforded under Hong Kong law and I / we may not have the same right as I / we have in respect of securities held in Hong Kong. 假若證券寄存於貴公司或根據客戶協議買入並於香港以外持有，本人/吾等便可能不能享有香港法例給予該等證券的同等保障，以及可能不能享有如同在香港持有該等證券的相同權利。
- I/We represent that the information contained in this Supplementary Information for Client Profile is true, complete and correct. ZJ is entitled to rely fully on such information and representations for all purposes, until ZJ receive notice in writing from me/us of any changes. If there are any changes in respect of the information contained in this information above, I/We undertake to inform ZJ promptly. ZJ is authorized at any time to contact anyone for the purpose of verifying the information provided. 本人/吾等聲明本客戶補充資料上所述的資料為真實、完整及正確。除貴公司收到本人/吾等書面通知更改，貴公司有權依賴上述的資料及聲明作任何目的。如上述所提供的資料有任何更改，本人/吾等承諾將立即通知貴公司。貴公司獲授權於任何時間聯絡有關人士核對上述資料。
- [ Circular relating to Personal Data (Privacy) Ordinance ] [ 有關《個人資料（私隱）條例》之客戶通知書 ]**

I/We confirm that I/we have already perused and understood Zhong Jia Securities Limited ("ZJ")'s Privacy Policy and Personal Information Collection Statement. I/We confirm my/our consent given to ZJ to retain and use my/our personal data for the purposes as set out in ZJ's Privacy Policy and Personal Information Collection Statement, which can be accessed on ZJ's website: [www.zjsec.com.hk](http://www.zjsec.com.hk). I/We confirm my/our understanding that ZJ's Privacy Policy and Personal Information Collection Statement could be revised and updated by ZJ from time to time without prior notice to me/us and that I/we should access the same to review any updates from time to time. I/We acknowledge that I/we could obtain updated copies of ZJ's Privacy Policy and Personal Information Collection Statement by calling ZJ's Customer Service hotline at 2115 8467 anytime during office hours. To access or update my/our personal data held by ZJ or to request ZJ not to use such personal data in direct marketing, I/we should write to ZJ's Data Protection Officer at Unit D - F, 15/F, Neich Tower, 128 Gloucester Road, Wan Chai, Hong Kong.

本人/吾等確認本人/吾等已細閱及明白中佳證券有限公司（中佳）私隱政策及個人資料收集聲明。本人/吾等確認本人/吾等同意中佳收集及使用本人/吾等的個人資料用於中佳私隱政策及個人資料收集聲明所列明的相關用途，並可透過中佳網址([www.zjsec.com.hk](http://www.zjsec.com.hk)) 查閱。本人/吾等確認本人/吾等已明白中佳私隱政策及個人資料收集聲明可不時作出修訂及更新，並且不會就此作出另行通知，本人/吾等亦應不時查閱其更新的版本。本人/吾等已得悉本人/吾等可於辦公時間內致電中佳客戶服務熱線：2115 8467 索取最新的中佳私隱政策及個人資料收集聲明的副本。如欲查閱或更新中佳所收集的個人資料，或要求中佳不再使用本人/吾等的個人資料作直接促銷，本人/吾等應以書面聯絡中佳的資料保護主任，地址：香港灣仔告士打道 128 號祥豐大廈 15 樓 D - F 室。

I/We confirm that I/we have been notified that my/our personal data inclusive of my/our name(s), telephone number(s), e-mail address(es) and address(es) are intended to be used in direct marketing, the details of which are set out in ZJ's Privacy Policy and Personal Information Collection Statement, which can be accessed on ZJ's website: [www.zjsec.com.hk](http://www.zjsec.com.hk), but that such use of my/our said personal data in direct marketing could not take place without my/our consent.

本人/吾等確認本人/吾等已被通知本人/吾等的個人資料包括本人/吾等的姓名、電話號碼、電郵地址及地址將作直接促銷，有關詳情載於中佳私隱政策及個人資料收集聲明，並可透過中佳網址 ([www.zjsec.com.hk](http://www.zjsec.com.hk)) 查閱。在未得到本人/吾等同意之前，中佳並不能使用本人/吾等的個人資料作直接促銷。

I/We understand that I/we should sign at the end of this Notice to indicate that I/we have perused, understood and agreed with the contents of this Notice and to indicate my/our agreement to the aforesaid use of my/our said personal data in direct marketing.

本人/吾等明白本人/吾等應在本通告下方簽署以表明本人/吾等已細閱、明白及同意本通告的內容，並表明本人/吾等同意上述有關使用本人/吾等的個人資料作直接促銷。

Should I/we find the aforesaid use of my/our said personal data in direct marketing not acceptable, I/we would indicate my/our objection before signing by ticking  below.

如本人/吾等不接受本人/吾等的個人資料用於直接促銷，本人/吾等將於簽署前在下列空格加上以茲反對。

I/We  **do not wish** to receive ongoing marketing information/materials from ZJ and I/we do not consent to ZJ's retention and use of my/our personal data in direct marketing.

本人/吾等 **不願意** 收取中佳推廣資訊/刊物及本人/吾等不同意中佳保留及使用本人/吾等的個人資料作直接促銷。

<p>Name of Company 公司名稱</p> <p>_____</p> <p>Was hereto affixed pursuant to its board resolution a certified true copy of which is attached hereto 已依據其董事會決議在此蓋章在此附上已經核證為真實的副本</p> <p>Name of Authorized Signatory 獲授權人名稱</p> <p>_____</p>	<p>_____</p> <p>Authorized Signature(s) with Company Chop 獲授權簽名及公司印章</p> <p>Date 日期: ____ day (日) of ____ month (月) of ____ year (年)</p>
<p>in the presence of 見證人:</p> <p>Name of Witness# 見證人名稱#</p> <p>_____</p> <p>Profession/Occupation 專業/職業</p> <p>_____</p> <p>Name of Company 公司名稱</p> <p>_____</p> <p>Company Address 公司地址</p> <p>_____</p>	<p>_____</p> <p>Signature of Witness 見證人簽署</p> <p>Date 日期: ____ day (日) of ____ month (月) of ____ year (年)</p>
<p># Witness should be a licensed or registered person, an affiliate of a licensed or registered person, a Justice of the Peace, or a professional person such as a branch manager of a bank, certified public accountant, lawyer, notary public, or an officer of an embassy, consulate or high commission of the country of issue of documentary verification of identity. 見證人應為持牌或註冊人士、持牌或註冊人士的聯繫人士、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，或發出身份核實文件的國家的大使館、領事館或高級專員公署的人員。</p>	

## ACCOUNT EXECUTIVE'S DECLARATIONS 客戶主任聲明

I hereby confirm that: 本人在此確認：

- I have witnessed the signature and inspected the original identity documents of the above-named client. 本人已核查上述客戶之身份證明文件之原本，並見證上述客戶之簽名。
- The client has been provided with the Client Agreement (including Risk Disclosure Statement) in the language of the client's choice (English or Chinese); and the client has been invited to read the Client Agreement (including Risk Disclosure Statement), ask questions and take independent advice if the client so wishes. 客戶已被提供按照其所選擇的語言（英文或中文）的客戶協議（包括風險披露聲明），本人並且已邀請客戶閱讀該客戶協議（包括風險披露聲明），提出問題及徵求獨立的意見（如閣下有此意願）。
- I have already explained to the client that if the client is currently employed by any registered institution or licensed corporation to carry on regulated activities, the client is required to provide ZJ a written consent from his / her employer in support of this account opening. 本人已向客戶解釋，假若客戶現受僱於任何從事受規管活動之註冊機構或持牌公司，客戶必須向本公司提供其僱主就是次開納帳戶所發出的同意書。
- The client has been provided with "the Definitions of Risk Tolerance Assessment" in the language of the client's choice (English or Chinese); and the client has been invited to read the explanation contained in "the Definitions of Risk Tolerance Assessment", ask questions and take independent advice if the client so wishes. 客戶已被提供按照其所選擇的語言（英文或中文）的「風險承受能力評估的說明」，本人並且已邀請客戶閱讀該「風險承受能力評估的說明」的釋義，提出問題及徵求獨立的意見（如閣下有此意願）。

\_\_\_\_\_  
Signed by licensed representative 持牌代表簽署

\_\_\_\_\_  
CE Number 中央編號

\_\_\_\_\_  
Name of licensed representative (in block letters) 持牌代表名稱 (正楷)

\_\_\_\_\_  
Date 日期

\_\_\_\_\_  
Name of Responsible Officer 負責人員姓名

Acknowledged and Accepted by  
**Zhong Jia Securities Limited**  
經由 中佳證券有限公司  
承認及接納

\_\_\_\_\_  
Signature of Responsible Officer 負責人員簽署

Date 日期： \_\_\_\_ day (日) of \_\_\_\_ month (月) of \_\_\_\_ year (年)

## GUARANTEE 擔保書

THIS GUARANTEE is made the \_\_\_\_\_ day of 20

本擔保書於 20 年 月 日簽立

BY \_\_\_\_\_ (name) (H.K.I.D. Card No.: \_\_\_\_\_)

of \_\_\_\_\_ (residential address) (the "Guarantor")

本擔保書由 \_\_\_\_\_ (姓名) (香港身份証號碼: \_\_\_\_\_)

(住址為 \_\_\_\_\_) ("擔保人") 簽立

IN FAVOUR OF Zhong Jia Securities Limited of Unit D - F, 15/F, Neich Tower, 128 Gloucester Road, Wan Chai, Hong Kong ("Zhong Jia Securities"). 受益人為中佳證券有限公司(地址為香港灣仔告士打道 128 號祥豐大廈 15 樓 D - F 室) ("中佳證券")

In consideration of Zhong Jia Securities agreeing or continuing to provide to \_\_\_\_\_ (the "Client") services in relation to the trading, sales, purchases, holdings and other dealings in or of securities and/or stock options, application for IPO or placing and/or margin trading and other related services (the "Services") pursuant to and subject to the terms in the Account Opening Documents (comprising the Securities Trading Account Opening Application Form (Corporate Account), the Terms and Conditions for Securities Trading and the documents referred to therein or added thereto) (copies of which have been provided to the Guarantor), the undersigned Guarantor hereby agrees and undertakes as follows:-

基於中佳證券同意依據帳戶開戶文件(由證券交易開戶申請表格(公司帳戶)、證券交易的條款及條件及當中所提及或附加的文件所組成)(該些文件的副本已經提供予擔保人)的條款向 \_\_\_\_\_ ("客戶") 提供或繼續提供與交易、出售、購買、持有及其他證券及/或股票期權交易、首次公開招股或配售及/或保證金交易相關之服務或其他有關之服務("該服務")，於下方簽署的擔保人現同意及承諾以下各點：

1. The Guarantor unconditionally and irrevocably guarantees to Zhong Jia Securities the prompt and punctual payment by the Client to Zhong Jia Securities of all sums of monies payable by the Client under the Account Opening Documents or in relation to the Services (including but not limited to all charges, commissions, principals, interests, expenses and losses), and if for any reason the Client shall fail to pay any such sums or when such sums shall become due, the Guarantor as primary obligor shall pay to Zhong Jia Securities on demand all such sums together with legal expenses and costs for enforcing this Guarantee (including the costs of debt collection agencies). 擔保人無條件及不可撤銷地向中佳證券擔保客戶將立即並準時向中佳證券支付所有客戶於帳戶開戶文件項下或與該服務相關應付之款項(包括但不限於任何開支、佣金、本金、利息、成本及損失)，且如客戶因由何原因未能未付該些款項或於該些款項到期支付時，擔保人作為主要責任人將會於被要求時向中佳證券支付所有該些款項(連同法律費用及執行本擔保書的開支(包括收債公司之費用))。
2. As between the Guarantor and Zhong Jia Securities but without affecting the Client's obligations, the Guarantor shall be liable under this Guarantee as if the Guarantor were the sole principal debtor and not merely as a surety. The Guarantor agrees to pay Zhong Jia Securities such sum as may be demanded by Zhong Jia Securities whether or not Zhong Jia Securities has given the Client the first opportunity to pay and discharge such obligations and whether or not Zhong Jia Securities has made any demand on the Client for such payment or discharge. The obligations of the Guarantor hereunder shall not be affected by any act, omission, fact, circumstances, matter or thing which, but for this clause, might operate to release or otherwise exonerate the Guarantor from, or affect, his/her obligations hereunder, including without limitation, and whether or not known to the Guarantor: 在擔保人與中佳證券之間而言(但不影響客戶的責任)，擔保人將會根據本擔保書承擔責任，猶如其為唯一的主債人而不是單純作為保證人。擔保人同意向中佳證券支付任何中佳證券可能會要求的款項(不管中佳證券是否向客戶給予第一機會支付及解除該項責任，也不管中佳證券是否曾向客戶作出催付或解除責任的要求)。擔保人於本擔保書項下之責任並不會因任何在沒有本條的情況下可能會解除或免除或影響該些責任的行為、不作為、事實、情況、事項或事宜(不管擔保人是否知悉該些情況)，包括但不限於：
  - a. any time, indulgence, concession, waiver or consent granted to, or composition with the Client or any other person; 向客戶或任何其他人士所給予的任何時間、容忍、讓步、寬免或同意，或與客戶或任何其他人士所作的債務重整安排；
  - b. the taking, variation, compromise, renewal or release of, or refusal or failure to perfect or enforce or realize any rights, remedies or securities against the Client or any other person; 獲取、變更、妥協、更新或解除，或拒絕或沒有完備、執行或變現任何針對客戶或任何其他人士的權利、補救方法或保證品；
  - c. any legal limitation, disability, incapacity of the Client or any other person; 客戶或任何其他人士之任何法律限制、無行為能力或殘障；
  - d. the irregular or improper purported exercise of powers of the Client or any other person or want of authority by any person purporting to act on behalf of the Client or any other person; 客戶或任何其他人士不符合規定或不妥當地意圖行使權力，或任何聲稱代表客戶或任何其他人士行事之人士缺乏授權；
  - e. any amendment to, or variation of the terms of any documentation in connection with the Services and/or the Account Opening Documents or any other documents or security; 與該服務相關之任何文件及/或帳戶開戶文件或任何其他文件或保證之任何修改或條款變更；

- f. the Client or any other person not being or ceasing to be legally liable for discharging any obligation or liability undertaken or purported to be undertaken on its/his/her behalf; 客戶或任何其他人士不負有(或停止負有)履行其所承擔之責任或義務(或聲稱代表其承諾負上之責任或義務)的法律責任;
- g. the illegality, invalidity or unenforceability of or any defect in any provision of the documentation in connection with the Services and/or the Account Opening Documents or any other security, guarantee or indemnity; 與該服務相關之任何文件及/或帳戶開戶文件或任何其他保證、擔保或彌償之任何條款的不合法性、非有效性或不能強制執行或任何缺失;
- h. the lapse or expiry of any applicable limitation period; 任何適用的時效期限已過或屆滿;
- i. the absorption, amalgamation, reconstruction or reorganization or other change in the constitution of the Client, Zhong Jia Securities or any other person; or 客戶、中佳證券或任何其他人士的合併、合組、重組、改組或其他組成架構轉變; 或
- j. the bankruptcy, winding-up, liquidation or dissolution, as the case may be, of the Client, Zhong Jia Securities or any other person. 客戶、中佳證券或任何其他人士的破產、結業、清盤或解散。
3. The Guarantor agrees to pay interest to Zhong Jia Securities, at the rate of interest applicable under the Account Opening Documents to overdue sums, on all sums demanded under this Guarantee from the date of Zhong Jia Securities' demand or the date on which the relevant sums and liabilities arise until the date of receipt of such sums by Zhong Jia Securities. 擔保人同意為過期未清償的款項支付利息，利息將會由中佳證券作出有關的清償的要求之日期或所涉及的款項或債務產生當日起計算，直至中佳證券收到該筆款項為止。利率乃帳戶開戶文件中對過期未付的款項適用的利率。
4. This Guarantee shall be a continuing guarantee and the Guarantor's obligations shall not be discharged or released until the whole of the outstanding liabilities owed by the Client to Zhong Jia Securities in relation to the Account Opening Documents and/or the Services and those owed by the Guarantor to Zhong Jia Securities hereunder shall have been paid and discharged in full, notwithstanding any rule of law or equity to the contrary. 本擔保書乃持續擔保，在與帳戶開戶文件及/或該服務相關客戶欠負中佳證券的所有未償付責任債務及擔保人於本擔保書項下欠負中佳證券的所有未償付責任債務均已完全清償及解除前，擔保人的責任不會被解除或免除(儘管有任何相反的法律或衡平法規則)。
5. The Guarantor undertakes to keep Zhong Jia Securities fully indemnified against all cost, loss, expense or liability sustained or incurred by Zhong Jia Securities (including but not limited to the refunded amount) as a result of its being required to return to the Client or any other person (or pay to any other person pursuant to any insolvency law or otherwise howsoever) all or part of any amount payable or paid by the Client or any other person. 若中佳證券須退回全部或部份客戶或任何其他人士所支付的任何款項予客戶或任何其他人士(或根據任何無償債能力或類似法律須把該些款項付予任何其他人士)，擔保人承諾將完全彌償中佳證券因此而招致或蒙受的所有費用、損失、開支或其他債務(包括但不限於所退款項)。
6. No failure on the part of Zhong Jia Securities to exercise, and no delay on its part in exercising, any right or remedy under this Guarantee will operate as a waiver thereof, nor will any single or partial exercise of any right or remedy preclude any other or further exercise of that or any other right or remedy. 即使中佳證券未有或延遲行使其於本擔保下之任何權利或補救，亦不會構成任何有關這方面的寬免，而任何單獨或部份地行使有關權利或補救，亦不會限制中佳證券日後行使或進一步行使有關或其他的權利或補救。
7. Without prejudice to any other right or remedy of Zhong Jia Securities, Zhong Jia Securities may, without notice and notwithstanding any settlement of account or other matter whatsoever, at any time set-off or apply any sum standing to the credit of any account maintained with any Zhong Jia Group Company to which the Guarantor is beneficially entitled to, or any sum held to the Guarantor's order in or towards the discharge of its obligations to Zhong Jia Securities under this Guarantee (when the sum shall become so due and payable hereunder but unpaid). Where such set-off or application requires the conversion of one currency into another, the conversion shall be effected at the exchange rate conclusively determined by Zhong Jia Securities to be prevailing in the relevant foreign exchange market at the relevant time. "Zhong Jia Group Company" means Zhong Jia Securities or any of their Affiliates. (在不損害中佳證券的任何其他權利或補救的原則下，中佳證券在任何時候均可在不發出通知的情形下(儘管任何帳目償付或其他任何事項)，將擔保人實益享有在任何中佳集團公司處開設之任何帳戶中的任何款項，及任何為擔保人持有的款項，用以抵銷或應用於清償擔保人對中佳證券於本擔保書項下的義務或債務(當該些債務到期償付或在本擔保書下應付而未付時)。凡該等抵銷或應用須將一種貨幣兌換成另一種貨幣，則該兌換須依照中佳證券不可推翻地決定為在相關時間於相關外匯市場中通用的兌換率計算。"中佳集團公司"指中佳證券或任何它們的"附屬成員"。
8. The Guarantor may not assign or transfer all or part of its obligations under this Guarantee. Zhong Jia Securities may assign or transfer all or part of its rights and obligations under this Guarantee without notice to the Guarantor and there is no need to obtain the Guarantor's consent for the said assignment or transfer. 擔保人不得出讓或轉讓其根據本擔保書之下的所有或部份責任。中佳證券可出讓或轉讓其於本擔保書下之所有或任何權利或責任(而無須通知 擔保人或取得擔保人對出讓或轉讓的同意)。
9. Zhong Jia Securities may disclose to an actual or potential assignee, transferee, sub-participant or to any regulatory authority requesting the same, such information about the Guarantor or any other person as Zhong Jia Securities may think fit. 中佳證券可在其認為適當的情況下，向任何確實或潛在的承讓人、轉讓人、次級參與者或任何索取相關資料的監管機構披露有關擔保人或任何其他人士的資料。
10. The Guarantor has been provided with a copy of the current version of the Notice to Clients Relating to the Personal Data (Privacy) Ordinance, and agrees that the Guarantor's personal data may be used for such purposes and transferred to such persons as stated therein. The Guarantor is entitled, by written request to the data protection officer of Zhong Jia Securities, to access the personal data of the Guarantor held by Zhong Jia Securities and to correct any inaccuracies in such data held. The Guarantor further agrees that the Guarantor's personal data may be supplied to credit reference agencies and, in the event of default, debt collection agencies, and understands that the Guarantor is entitled, upon request, to be informed which items of personal data are routinely so disclosed and to be provided with further information to enable the making of a data access and correction request to the relevant credit reference agencies or debt collection agencies. 擔保人已獲提供《關於個人資料(私隱)條例客戶通知》的最新版本一份，並同意擔保人的個人資料可被用作該通知



內所列明的用途及轉交至該通知內所述的人士。擔保人有權向中佳證券的資料保護主任提出書面請求去查閱中佳證券所持有有關擔保人的個人資料及要求更改該些資料錯誤的地方。擔保人進一步同意其個人資料可被提供予信貸資料服務機構及於欠帳時提供予收債公司，並明白擔保人有權要求得知那些資料項目是經常性會這樣被披露，及獲提供進一步資料使其可向有關信貸資料服務機構及收債公司提出查閱及更正資料的要求。

11. If for any reason whatsoever, any obligation of the Guarantor or any provision of this Guarantee is or becomes unenforceable or shall be declared or adjudged to be illegal, invalid or unenforceable in any respect under any applicable law, neither the legality, validity or enforceability of the remaining provisions of this Guarantee nor the legality, validity or enforceability of such provision under the laws of any other jurisdiction shall in any way be affected or impaired thereby. 如因任何原因在適用法律下，本擔保書下的任何責任或任何條款乃或成為無法強制執行的、或被宣布或判定為於任何方面不合法、非有效或無法強制執行的，則將不會以任何方式影響或損害該些條款於其他司法區法律下之合法性、有效性或強制執行性，或本擔保書其他條款的合法性、有效性或可強制執行性。
12. The Guarantor acknowledges and confirms that the Guarantor has already sought independent legal advice and has also understood all the contents of this Guarantee and its legal implications and consequences and the Guarantor shall raise no objection to the contents therein. 擔保人確認擔保人已經徵求獨立的法律意見，並明白本擔保書的所有內容及其法律影響及後果，擔保人對本擔保書內容將不提出反對。
13. This Guarantee shall be governed by and construed in accordance with the laws of the Hong Kong Special Administrative Region. The Guarantor hereby agrees to submit to the non-exclusive jurisdiction of the courts of the Hong Kong Special Administrative Region. 本擔保書受香港特別行政區的法律約束及據其詮釋。擔保人同意受香港特別行政區法院的非獨佔性司法管轄權的約束。
14. In the event of discrepancy between the Chinese version and English version of this Guarantee, the English version shall prevail. 如本擔保書的中文及英文版本有任何分歧，概以英文版本為準。

IN WITNESS whereof the Guarantor has executed this Guarantee as of the date and year first hereinabove written.

茲見證擔保人於前述年日簽立本擔保書。

**The Guarantor 擔保人**

**Witness 見證人**

H.K.I.D. Card No. 香港身份證號碼 : \_\_\_\_\_

Name 姓名 : \_\_\_\_\_

Name 姓名 : \_\_\_\_\_

Signature 簽署 : \_\_\_\_\_

Signature 簽署 : \_\_\_\_\_

Title 職銜 : \_\_\_\_\_

## Checking List - Completed by AE 查核表格 – 由經紀填寫

1. <input type="checkbox"/> Face-to-face account opening 面對面方式開戶 <input type="checkbox"/> NON face-to-face account opening 非面對面方式開戶			
2. Commission Rate 佣金收費			
(i) <input type="checkbox"/> Cash (Phone Trading) 現金帳戶(電話交易): <input type="checkbox"/> _____ % with HK\$ _____ min.最低			
(ii) <input type="checkbox"/> Online Cash 電子現金帳戶: <input type="checkbox"/> _____ % with HK\$ _____ min.最低			
(iii) <input type="checkbox"/> Margin (Phone Trading) 保證金帳戶(電話交易): <input type="checkbox"/> _____ % with HK\$ _____ min.最低			
(iv) <input type="checkbox"/> Online Margin 電子保證金帳戶: <input type="checkbox"/> _____ % with HK\$ _____ min.最低			
<b>Documents 文件</b>			<b>Checking 查核</b>
<b>(A) Account Opening Documents 開戶文件</b>			
1. Original Account Opening Form 正本開戶申請表			
2. W-SBEN-E Form (Certificate of Foreign status of Beneficial Owner for United State Tax Withholding) W-SBEN-E 表格 (美國預扣稅實益 – 擁有人外國身份證明書)			
3. Original ML/ TF Risk Assessment Form 反洗錢和反恐怖主義融資政策評估表格			
<b>(B) Certified True Copy 核證真實副本</b>			
1. Memorandum and Articles of Association 公司大綱及章程			
2. Board Resolution/ Minutes approving the opening of trading account with Zhong Jia Securities Limited and approving the authorized person(s) to operate the aforesaid account with specimen signature(s) of account signatories 董事會決議/會議記錄授權於中佳證券有限公司開設證券交易帳戶及授權獲授權人運作上述的帳戶連同其簽名樣式			
3. Copy of Hong Kong Identity Card(s) or Passport of the authorized person(s) 獲授權人人士之香港身份證明文件或護照之副本			
4. Certified of Incorporation or other constitutional documents proving the incorporation or similar evidence of the legal status of the corporation 公司註冊證書或其他憲法性文件證明企業的法律地位或類似的證明文件			
5. Business Registration Certificate (for Hong Kong company only) 商業登記證(適用於香港註冊公司)			
6. Registers of Members & Registers of Directors 股東名冊及董事名冊			
7. Company search report or equivalent issued within the last 6 months; or certificate of incumbency (for company incorporated overseas) or equivalent issued by the company's registered agent in the place of incorporation 於過去 6 個月內發出的公司查冊報告或等同文件;或一份由有關公司的當地註冊代理人簽發的職權證明書(現任職位證明書)或等同文件(適用於海外註冊公司)			
8. Latest audited financial statements (if any) 最新經審計財務報表(如有)			
9. Latest annual return filed with the Companies Registry (for Hong Kong Company) 提交於公司註冊處之最新週年申報表(適用於香港註冊公司)			
10. Hong Kong Identity Card(s) or Passport of the substantial shareholders (10% or more), ultimate beneficial owners and directors 主要股東(持股 10%或以上)、最終實益擁有人及董事的身份證明文件或護照			
11. Copy of valid registered office address / business address / correspondence address proof within the last 3 months 最近三個月內之有效登記地址/ 營業地址/ 通訊地址證明文件			
12. Group Chart showing the shareholding structure of all substantial shareholders holding 10% or more of voting rights or shares 顯示所有主要股東持有的投票權或股份 10%或以上的股權結構組織圖			
13. Deed of Guarantee and Indemnity and copy of Hong Kong Identity Card or Passport 擔保書並連同擔保人的香港身份證明文件或護照			
14. Supporting Documents of the Witness (if NON face-to-face account opening) 見證人證明文件(如非面對面開戶)			
15. Consent letter of account opening/ to act as authorized person from the intermediary 由持牌中介人發出的開戶/為獲授權人同意書			
16. Self-Certification Form – Entity and/ or Self-Certification Form – Controlling Person 自我證明表格-實體 及/或 自我證明表格-控權人			
17. Standing Authority under the Securities and Futures (Client Securities) Rules 根據《證券及期貨(客戶證券)規則》作出的常設授權			
<b>Completed by AE:</b>			
AE Code	Name of AE	Signature	Date

<b>Completed By Compliance</b>			
1. Licence Registration Checking : <input type="checkbox"/> No suspicion found <input type="checkbox"/> Suspicion found: <input type="checkbox"/> Account Holder(s) <input type="checkbox"/> Authorized Person(s)			
2. AML Checking: <input type="checkbox"/> No suspicion found <input type="checkbox"/> Suspicion found, details: _____			
3. PEP Checking: <input type="checkbox"/> No suspicion found <input type="checkbox"/> Suspicion found, details: _____			
Checked By: _____		Date: _____	

Responsible Officer's Decision 負責人員決定	
<b>Restricted Products/ Markets 受限制產品/ 市場:</b>  <input type="checkbox"/> Main Board 主板 Reason 原因: _____  <input type="checkbox"/> GEM Board 創業板 Reason 原因: _____  <input type="checkbox"/> Derivative Products 衍生產品 Reason 原因: _____  <input type="checkbox"/> Others 其他 Reason 原因: _____	<b>Approved By RO 由負責人員批核:</b>  _____ Name of Responsible Officer 負責人員姓名  _____ Signature of Responsible Officer 負責人員簽署 Date 日期: ___ day (日) of ___ month (月) of ___ year (年)

Signed by Settlement: \_\_\_\_\_ Date of Opening: \_\_\_\_\_