

個人 / 聯名帳戶開戶表格指引
Guidance of Individual / Joint Account Opening Form

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所需證明文件 Supporting Documents Required		
1. 已核實的身份證或護照副本	Certified ID Card/Passport Copy	
2. 最近三個月內的住址證明文件副本	Address proof issued within 3 months	
3. W-8ben 或 W-9 表格	W-8ben/W-9 form	
4. 僱主書面同意 (如適用)	Employer consent letter (if applicable)	
所需證明文件 (非在鼎展證券或聯繫人士的職員/代理人見證下簽署) Supporting Documents Required (If this account opening form is not executed by the client(s) in front of Safe Gold Securities' employee.)		
1. 在香港持牌銀行開立的帳戶所簽發的支票 (如適用)	A cheque issued by a Hong Kong licensed bank (if applicable)	
➢ 數額不得少於 HK\$10,000	➢ With a sum not less than HK\$10,000	
➢ 須載有客戶在身份證明文件上所顯示之姓名	➢ Bearing your name identical to your identity documents.	
➢ 抬頭為「鼎展證券及期貨有限公司」	➢ Payable to "Safe Gold Securities & Futures Limited"	
➢ 客戶支票的簽名須與開戶表格上之客戶簽署相符	➢ Bearing your signature identical to the signature shown on the Account Opening Form.	
2. 見證人之身分證明文件及專業資格證書 (如適用)	Identity documents and professional license of the witness (if applicable)	



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開戶表格 (個人 / 聯名帳戶)

ACCOUNT OPENING FORM (Individual / Joint Account)

內部專用 For Internal Use Only

帳戶號碼 Account Number

日期 Date

Day 日 / Month 月 / Year 年

帳戶類別 Account Type

個人帳戶 Individual Account

聯名帳戶 Joint Account**

另一申請人姓名

Name of joint Applicant _____

與第一申請人的關係

Relationship with the primary applicant _____

**請一併提交第二聯名帳戶持有人開戶表格補充文件及相關文件
Please provide the secondary account holder's supplementary account opening form and relevant document

Part 1. 帳戶種類 Type of Account

鼎展證券及期貨有限公司 (「鼎展證券」)

Safe Gold Securities & Futures Limited ("Safe Gold Securities")

(中央編號: CE No. BJH966)

現金帳戶 Cash Account

保證金帳戶 Margin Account

期貨帳戶 Futures Account

Part 2. 申請人資料 Applicant Information *請用正楷填寫, 適用處剔☑ Please complete in Block Letter, tick ☑

客戶姓名 Client Name	<input type="checkbox"/> 先生 Mr. <input type="checkbox"/> 女士 Miss	(中文 Chinese)	(英文 English)
出生日期 (日/月/年) Date of Birth (DD/MM/YY)		婚姻狀況 Marital Status	<input type="checkbox"/> 未婚 Single <input type="checkbox"/> 已婚 Married <input type="checkbox"/> 其他: _____
身份證/護照號碼 ID Card/Passport No.		簽發地點 Place of Issue	
國籍/公民身份 Nationality/ Citizenship		住宅電話 Home Tel. No.	
手提電話 Mobile Tel. No.		電郵地址 E-mail Address	

交易確認及帳戶結單將會被傳送到上述之電郵地址

Trading confirmation and statement will be sent to your email address

住宅地址

Residential Address

通訊地址 (如與以上有異)

Correspondence Address (If different from above)

* 請提供近三個月內發出的有效地址證明 Please provide a valid address proof issued within 3 months

工作狀況 Employment Status	<input type="checkbox"/> 受僱 Employed <input type="checkbox"/> 自僱 Self-Employed <input type="checkbox"/> 退休 Retired <input type="checkbox"/> 其他 Others: _____
僱主名稱 Name of Employer	(如屬自僱, 請列明自僱詳情 If self-employed)
公司地址 Business Address	業務性質 Nature of Business
職位 Position	任職年期 Year(s) Employed

是否需要得到現任僱主同意書, 方可開立本投資戶口?

Do you need the consent letter from your current employer for this account opening application?

是 Yes (請提供 Please provide)

否 No

Part 3. 銀行資料 Bank Account Information

除經客戶另行指示外，須付予客戶的款項將會被轉入下列帳戶

Unless otherwise instructed by you, all monies payable to you will be credited to the following bank account

指定銀行名稱 Designated Bank Name		銀行帳戶持有人姓名 Name of Bank Account Holder	
銀行帳戶號碼 Bank Account No.	<input type="checkbox"/> 港元 帳戶號碼 HKD A/C No. _____ <input type="checkbox"/> 美元 帳戶號碼 USD A/C No. _____ <input type="checkbox"/> 人民幣 帳戶號碼 CNY A/C No. _____		

Part 4. 財務狀況 (應證監會規定) Financial Background (As required by SFC)

主要收入來源 (可選多項) Main source of income (May tick more than one)	<input type="checkbox"/> 薪金 Salary <input type="checkbox"/> 佣金 Commission <input type="checkbox"/> 租金 Rent <input type="checkbox"/> 股息/利息 Dividend/Interest <input type="checkbox"/> 業務利潤 Business Profit <input type="checkbox"/> 資本增值 Investment <input type="checkbox"/> 不適用 Not applicable	每年收入(HK\$) Annual Income	<input type="checkbox"/> < 200,000 <input type="checkbox"/> 200,001 - 400,000 <input type="checkbox"/> 400,001 - 600,000 <input type="checkbox"/> 600,001 - 800,000 <input type="checkbox"/> 800,001 - 1,000,000 <input type="checkbox"/> > 1,000,000
資產項目 (可選多項) Asset Items (May tick more than one)	<input type="checkbox"/> 房地產 Property <input type="checkbox"/> 上市證券 Listed Securities <input type="checkbox"/> 存款 Deposits <input type="checkbox"/> 債券 Bonds <input type="checkbox"/> 基金 Fund <input type="checkbox"/> 其他 Others: _____	估計資產淨值 (HK\$) Net Asset Worth	<input type="checkbox"/> < 1,000,000 <input type="checkbox"/> 1,000,001 - 3,000,000 <input type="checkbox"/> 3,000,001 - 8,000,000 <input type="checkbox"/> > 8,000,000
物業資料 Occupancy Nature	<input type="checkbox"/> 租用 Rental <input type="checkbox"/> 與親人同住 Living with Relative <input type="checkbox"/> 自置 Self-owned <input type="checkbox"/> 按揭 Mortgaged 估值(扣除按揭) Approx. net value (less mortgage) of property: HK\$ _____		

Part 5. 投資目的及經驗 Investment Objectives and Experience

學歷 Education Level						
<input type="checkbox"/> 小學程度或以下 Primary or below	<input type="checkbox"/> 中學畢業 Secondary Graduate	<input type="checkbox"/> 大學畢業 University Graduate	<input type="checkbox"/> 碩士畢業或以上 Postgraduate or above			
投資目的 Investment Objective (可選多項) (May tick more than one)						
<input type="checkbox"/> 收益 Income	<input type="checkbox"/> 資本增值 Capital Gain	<input type="checkbox"/> 對沖 Hedging	<input type="checkbox"/> 投機 Speculation			
可承受風險 Risk Tolerance						
<input type="checkbox"/> 市場價格每月波動大於 30% Market price fluctuates over 30% per month	<input type="checkbox"/> 市場價格每月波動在 10% 至 30% 間 Market price fluctuates between 10% to 30% per month	<input type="checkbox"/> 市場價格每月波動小於 10% Market price fluctuates under 10% per month				
投資經驗 Investment Experience						
股票、債券及其他證券 Debentures or Other Securities	<input type="checkbox"/> 沒有 Nil	<input type="checkbox"/> <1	<input type="checkbox"/> 1-3	<input type="checkbox"/> 4-6	<input type="checkbox"/> 7-10	<input type="checkbox"/> >10
槓桿外匯 Leveraged Foreign Exchange	<input type="checkbox"/> 沒有 Nil	<input type="checkbox"/> <1	<input type="checkbox"/> 1-3	<input type="checkbox"/> 4-6	<input type="checkbox"/> 7-10	<input type="checkbox"/> >10
期貨/期權 Futures / Option	<input type="checkbox"/> 沒有 Nil	<input type="checkbox"/> <1	<input type="checkbox"/> 1-3	<input type="checkbox"/> 4-6	<input type="checkbox"/> 7-10	<input type="checkbox"/> >10
(其他，請註明 Others (specify): _____)	<input type="checkbox"/> 沒有 Nil	<input type="checkbox"/> <1	<input type="checkbox"/> 1-3	<input type="checkbox"/> 4-6	<input type="checkbox"/> 7-10	<input type="checkbox"/> >10

Part 6. 結構性或衍生產品知識 Knowledge of Structured or Derivative Products

1. 對衍生產品的認識 Knowledge of Derivative Products :
- I. 客戶曾接受有關衍生產品的培訓或修讀相關課程; 及/或
The Client underwent training or attended courses on derivative products; and/or
- II. 客戶現時或過去擁有與衍生產品有關的工作經驗; 及/或
The Client has current or previous work experience related to derivative products; and/or
- III. 客戶於過去 3 年曾執行 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、商品、結構性產品及交易所買賣基金等。
The Client has executed five or more transactions within the past three years in derivative products, e.g. Derivative Warrants, Callable Bull/ Bear Contracts, Stock Options, Futures and Options, Commodities, Structured Products, and Exchange Traded Funds, etc.
- 本人有上述一個或以上的經驗。
I have the above experience and/or knowledge on derivative product(s).
- 本人沒有上述經驗, 但已細閱、同意及明白所有關於衍生產品的風險聲明, 本人明白於買賣有關衍生產品前必須先具備足夠的認識, 並願意接受一切有關的風險。
I do not have the above experience and/or knowledge on derivative product(s), but I confirm that I fully read, agreed and understood the relevant risks of the derivative product(s). I understand that I have to acquire enough understanding on derivative product(s) before trading them and I fully accept all relevant risks

Part 7. 身份聲明 Identity Declaration

1. 客戶是否戶口之最終受益人?
Is client the ultimate beneficial owner(s) of this Account? 是 Yes 否 No
(鼎展證券在一般情況下並不接受申請人並非其戶口之最終受益人)
(Normally Safe Gold Securities would not accept the Applicant who is not the ultimate beneficial owner(s))
2. 你是否證券/期貨交易所參與者的僱員或代理人, 或於證監會註冊的證券/期貨交易所或投資顧問的僱員或代理人?
Are you an employee or agent of a participant of a stock/ futures exchange, or a securities/ futures dealer or investment adviser registered with the Securities & Futures Commission?
 否 No 是, 有關的交易所參與者或註冊人的姓名是: _____
Yes, the name of the related exchange participant or registered person is: _____
閣下之牌照編號 Your License No.: _____
(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)
3. 客戶及/或任何之最終帳戶受益人是否與鼎展證券及其附屬或聯營公司之僱員/董事有任何關係?
Are you and/or any of the ultimate beneficial owner(s) of the Account related to any employee or director of Safe Gold Securities or any of its subsidiaries or associated companies?
 否 No 是 Yes 如是, 請說明 If yes, please specify
僱員/董事姓名 Name of the employee / director: _____ 關係 Relationship: _____
4. 客戶或其授權人是否任何上市公司的董事/僱員/大股東?
Is the client or his authorized person a director, employee or major shareholder of any listed company?
 否 No 是, 請提供上市公司的名稱和上市地點 Yes, please provide the name of the listed company and the place of listing

5. 客戶的配偶或其他與客戶有關連的人士是否鼎展證券的客戶? Is your spouse or other persons related with you a client of Safe Gold Securities?
 否 No 是, 其帳戶號碼為 Yes, whose A/C No. is _____, 關係 Relationship: _____
6. 客戶是否操控另一鼎展證券帳戶? Are you operating another account in Safe Gold Securities?
 否 No 是, 其帳戶號碼為 Yes, whose A/C No. is _____, 關係 Relationship: _____
7. 客戶是否個人或與配偶共同控制任何鼎展證券的公司客戶 35% 或以上的投票權?
Are you alone or with your spouse control 35% or more of the voting rights of any corporate clients of Safe Gold Securities?
 否 No 是, 其帳戶號碼為 Yes, whose A/C No. is _____, 關係 Relationship: _____

Part 8. 美國稅務責任 U.S. Tax Obligations

<input type="checkbox"/> 本人確認 沒有 任何美國稅務責任。 如閣下擬進行環球證券/期貨買賣，請提供適當的美國國家稅務局 W-8 表格。 I acknowledge that I do NOT have any US tax obligations. Please provide the appropriate U.S. IRS Form W-8 if you intend to trade overseas securities/futures.	<input type="checkbox"/> 本人確認有美國稅務責任。 請提供美國國家稅務局 W-9 表格。 I acknowledge that I have US tax obligations. Please provide U.S. IRS Form W-9.
本人同意鼎展證券可向本地及海外監管機構或稅務機關披露、呈交或提供本人的個人資料以確立本人於任何司法管轄區的稅務責任。若本人的美國稅務責任狀況有任何更改或鼎展證券要求本人提供額外資料時，本人理解及同意於 30 日內以書面通知鼎展證券及提供有關資料。 I hereby consent for Safe Gold Securities to disclose, report or share my personal information with local and overseas regulators or tax authorities where necessary to establish my tax liability in any jurisdiction. I acknowledge and undertake to promptly notify Safe Gold Securities in writing within 30 days of any change on my status on US taxes obligations and to provide further information as Safe Gold Securities may require.	

Part 9. 共同匯報標準-自我證明表格 Self-Certification for Common Reporting Standard

請提供以下資料，列明 (a) 帳戶持有人的居留司法管轄區，亦即帳戶持有人的稅務管轄區（香港包括在內）及 (b) 該居留司法管轄區發給帳戶持有人的稅務編號。列出所有（不限於 3 個）居留司法管轄區。

如帳戶持有人的香港稅務居民，稅務編號是其香港身份證號碼。

如帳戶持有人的中國稅務居民，稅務編號是其中國身份證號碼。

如沒有提供稅務編號，必須填寫合適的理由：

理由 A - 帳戶持有人的居留司法管轄區並沒有向其居民發出稅務編號。

理由 B - 帳戶持有人不能取得稅務編號。如選取這一理由，解釋帳戶持有人不能取得稅務編號的原因。

理由 C - 帳戶持有人毋須提供稅務編號。居留司法管轄區的主管機關不需要帳戶持有人披露稅務編號。

Please complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the account holder is a resident for tax purposes and (b) the account holder's TIN for each jurisdiction indicated. Indicate all (not restricted to three) jurisdictions of residence.

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number.

If the account holder is a tax resident of China, the TIN is the China Identity Card Number.

If a TIN is unavailable, provide the appropriate reason A, B or C:

Reason A – The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.

Reason B – The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN if you have selected this reason.

Reason C – TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed

	稅務管轄權所屬國家/地區 Jurisdiction of tax residence	稅務管轄權所屬國家/地區之稅務識別號碼 TIN*	如客戶未能提供有關稅務管轄權所屬國家/地區之稅務識別號碼須提供以下 A,B 或 C 原因。 Enter Reason A, B or C if no TIN is available	如選取理由 B，解釋帳戶持有人不能取得稅務編號的原因 Explain why the account holder is unable to obtain a TIN if you have selected Reason B
1				
2				
3				

本人知悉及同意，財務機構可根據《稅務條例》(第 112 章)有關交換財務帳戶資料的法律條文，(a) 收集本表格所載資料並可備存作自動交換財務帳戶資料用途及 (b) 把該等資料和關於帳戶持有人及任何須申報帳戶的資料向香港特別行政區政府稅務局申報。從而把資料轉交到帳戶持有人的居留司法管轄區的稅務當局。本人證明，就與本表格所有相關的帳戶，本人獲帳戶持有人授權簽署本表格。

本人承諾，如情況有所改變，以致影響本表格所述的實體的稅務居民身分，或引致本表格所載的資料不正確，本人會通知鼎展證券，並會在情況發生改變後 30 日內，向鼎展證券提交一份已適當更新的自我證明表格。

本人聲明就本人所知所信，本表格內所填報的所有資料和聲明均屬真實、正確和完備。

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by the financial institution for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the account holder and any reportable account(s) may be reported by the financial institution to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the account holder may be resident for tax purposes pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112).

I certify that I am authorized to sign for the account holder of all the account(s) to which this form relates.

I undertake to advise Safe Gold Securities of any change in circumstances which affects the tax residency status of the individual identified in this form or causes the information contained herein to become incorrect, and to provide Safe Gold Securities with a suitably updated self-certification form within 30 days of such change in circumstances.

I declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete.

警告:根據《稅務條例》第 80(2E)條，如任何人在作出自我證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。一經定罪，可處第 3 級（即\$10,000）罰款。

WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. \$10,000)

Part 10. 政治人物 Politically Exposed Person

客戶之董事、股東及/或其授權人、其各自的配偶、伴侶、子女或父母、或該名個人的子女的配偶或伴侶、或與該名個人有關係密切的人是否在任何地方擔任或曾擔任重要的公職(包括國家元首、政府首長、資深從政者、高級政府、司法或軍事官員、國有企業高級行政人員及重要政黨幹事)?

Is the client's directors, shareholders and/or its authorized persons, their respective spouses, partners, children or parents, or a spouse or a partner of a child of such individual, or close associate of such individual is or has been entrusted with a prominent public function in any place (which shall include a head of state, head of government, senior politician, senior government, judicial or military official, senior executive of a state-owned corporation and an important political party official)?

否 No 是 Yes

If Yes, please provide 如是，請提供資料如下: _____

Name of the politically exposed person 政治人物的名稱: _____

Place and public function entrusted with 地方及所擔任的公職: _____

Term of the public function entrusted with 所擔任的公職的年期: _____

Relationship with the client 與客戶之關係: _____

Part 11. 常設授權書 (客戶款項) Standing Authority (Client Money)

根據《證券及期貨(客戶款項)規則》作出的常設授權

Standing Authority under the Securities and Futures (Client Money) Rules

本授權書是關於貴公司代表本人/吾等在一個或多個獨立帳戶內收取或持有的款項 (包括因持有任何(不屬於貴公司的)款項所獲取的利息)(下稱「款項」)。除另有說明外，在本授權書內的所有用語應具有經不時修訂的《證券及期貨條例》及《證券及期貨(客戶款項)規則》所定義的相同意思。獨立帳戶包括根據《證券及期貨(客戶款項)規則》在香港境內開立及維持並指定為客戶帳戶的任何帳戶，或在香港境外開立及維持並指定為客戶帳戶的任何帳戶。

This letter of authority covers monies received or held by any of the Companies (including any interest derived from the holding of the money which does not belong to the Company) in one or more segregated account(s) on my/our behalf ("Monies"). Unless otherwise defined, all the terms used in this Authorization Letter shall have the same meanings as defined in the Securities and Futures Ordinance and the Securities and Futures (Client Money) Rules as amended from time to time. Segregated account(s) include any account(s) designated as client account(s) established and maintained in Hong Kong in accordance with the Securities and Futures (Client Money) Rules or account(s) designated as client account(s) established and maintained outside Hong Kong. Under the condition that I/we and Safe Gold Securities both agree and to the extent permitted by law, all interest on client money held in segregated accounts belong to Safe Gold Securities.

本人/吾等授權鼎展證券:

- (1) 從鼎展證券在香港設立的獨立賬戶及在任何海外經紀人及/或結算公司獨立賬戶之間來回調動任何數額之款項；及/或
- (2) 將任何數額之款項轉往鼎展證券於其香港或海外代理經紀及/或清算代理開立的任何股票或期貨交易/清算/交收賬戶以作本人/吾等交易香港或環球股票或期貨之用；
- (3) 將本人/吾等的款項兌換至任何貨幣。

I/We authorize Safe Gold Securities to:

1. transfer any sum of Monies interchangeably between the segregated account(s) opened and maintained by Safe Gold Securities in Hong Kong and the segregated account(s) opened and maintained by Safe Gold Securities with any overseas broker(s) and/or overseas clearing firm(s) outside Hong Kong; and/or
2. transfer any sum of Monies to any securities or futures trading/clearing/settlement account(s) maintained by Safe Gold Securities with its agent broker(s) and/or clearing agent(s) in Hong Kong or overseas for purpose of dealing in Hong Kong or global securities or futures transactions for and on behalf of me/us;
3. exchange my/our money into any other currency (ies).

鼎展證券可毋須通知本人/吾等而進行上述各項。

Safe Gold Securities may do any of these things without giving me/us notice.

此賦予鼎展證券的授權並不損害貴公司享有的有關處理獨立帳戶內款項的其他授權或權利。

This authority is given without prejudice to other authorities or rights which Safe Gold Securities may have in relation to dealing in Monies in the segregated accounts.

本人/吾等確認並同意，無論此授權是何時開始，此授權有效至此授權日期後的十二月三十一日終止。鼎展證券可在有效期屆滿前最少 14 天以書面通知客戶，此授權書自動續期 12 個月，如在期限屆滿日鼎展證券沒有收到客戶通知要求撤銷此授權書，此授權書將會按照相同條款自動續期。

I/We acknowledge and agree that whatever this authorization is when to start, this authority expiry on December 31 after the date of authorization, The authorization given hereunder shall be deemed to be renewed if the Company give client(s) a written reminder at least fourteen (14) days prior to the expiry date of the relevant authorization, and client(s) do not object to such deemed renewal before such expiry date.

此授權可由本人/吾等在任何時間向鼎展證券發出 30 日的有關撤回的事先書面通知而撤回，該撤回將於鼎展證券實際收到該書面通知後才可生效，且不會影響在該撤回生效前鼎展證券已根據此授權進行的任何交易。

This authority may be revoked by me/us at any time by serving on Safe Gold Securities 30 days' prior written notice to that effect. Such revocation shall not take effect until actual receipt by Safe Gold Securities of such written notice and shall not affect any transaction undertaken by Safe Gold Securities pursuant to this Authority prior to such revocation taking effect.

本人/吾等謹此同意向鼎展證券及其聯屬公司作出彌償保證，就彼等(或其中任何一方)根據此授權所進行的任何交易所產生、蒙受/或承受之一切損失、損害、利息、費用、開支、行動、需求、申索或任何性質的法律程序獲得彌償。

I/We hereby agree to indemnify and to keep indemnified, Safe Gold Securities from and against all losses, damages, interests, costs, expenses, actions, demands claims or proceedings or whatsoever nature which they (or any of them) may incur, suffer and/or sustain as a consequence of any transaction undertaken in pursuance of this Authority.

若本授權書的英文文本及中文文本在內容上有任何歧異，本人/吾等同意以英文文本為準。

In the event of any discrepancy between the English and Chinese version of this Authorization Letter, I/we agree that the English version shall prevail.

本人/吾等已閱讀及明白本授權書的內容，並同意受本授權書的內容約束。

I/We have read and understood the contents of this Authorization Letter and agreed to be bound by its terms.

根據《證券及期貨(客戶證券)規則》作出的常設授權 (適用於保證金帳戶)

Standing Authority under the Securities and Futures (Client Securities) Rules (For Margin A/C only)

本授權書是關於貴公司代表本人/吾等接收或持有的證券或證券抵押品。除另有說明外，在本授權書內的所有用語應具有經不時修訂的《證券及期貨條例》及《證券及期貨(客戶證券)規則》所定義的相同意思。

This letter of authority covers the securities or securities collateral received or held by you on my/our behalf. Unless otherwise defined, all the terms used in this Authorization Letter shall have the same meanings as defined in the Securities and Futures Ordinance and the Securities and Futures (Client Securities) Rules as amended from time to time.

本人/吾等授權貴公司:

1. 依據證券借貸協議運用本人/吾等的任何證券或證券抵押品;
2. 將本人/吾等的任何證券抵押品存放於認可的財務機構，作為提供予貴公司的財務通融的抵押品; 或
3. 將本人/吾等的任何證券抵押品存放於:
 - i) 一家認可的結算所; 或
 - ii) 獲發牌或獲註冊進行證券交易的另一中介人，作為貴公司履行交收義務與責任的抵押品。貴公司可無須通知本人/吾等而進行上述各項。

I/We authorize you to

1. apply any of my/our securities or securities collateral pursuant to a securities borrowing and lending agreement;
2. deposit any of my/our securities collateral with an authorized financial institution as collateral for financial accommodation provided to you; or
3. deposit any of my/our securities collateral with:
 - i) a recognized clearing house; or
 - ii) another intermediary licensed or registered for dealing in securities, as collateral for the discharge and satisfaction of your settlement obligations and liabilities.

You may do any of these thing without giving me/us notice.

當本人/吾等全數償還財務通融安排下的所有未清償的貸款後，貴公司須負責向本人/吾等歸還在此授權下存放的相等證券。

You are accountable to me/us for the return of equivalent securities deposited under this authority after full repayment by me/us of all my/our outstanding loans under any financial accommodation.

本人/吾等明白，本人/吾等的證券或證券抵押品可能受制於第三者之留置權或押記，貴公司必須先行了結有關留置權或押記，方可將本人/吾等的證券或證券抵押品歸還本人/吾等。

I/We understand that a third party may have a lien or charge on my/our securities or securities collateral, which you must satisfy before my/our securities or securities collateral can be returned to me/us.

本人/吾等知悉，本人/吾等若授權貴公司，准許貴公司依據證券借貸協議運用本人/吾等的任何證券或證券抵押品，或准許貴公司再質押本人/吾等的證券抵押品以取得財務通融，或准許貴公司存放本人/吾等的證券抵押品作為貴公司履行交收義務與責任的抵押品，如此授權是帶有風險的。

I/We are aware that there is risk if I/we provide you with any authority that allows you to apply my/our securities or securities collateral pursuant to a securities borrowing and lending agreement, repledge my/our securities collateral for financial accommodation or deposit my/our securities collateral as collateral for the discharge and satisfaction of your settlement obligations and liabilities.

本人/吾等確認並同意，無論此授權是何時開始，此授權有效至此授權日期後的十二月三十一日終止。鼎展證券可在有效期屆滿前最少 14 天以書面通知客戶，此授權書自動續期 12 個月，如在期限屆滿日鼎展證券沒有收到客戶通知要求撤銷此授權書，此授權書將會按照相同條款自動續期。

I/We acknowledge and agree that whatever this authorization is when to start, this authority expiry on December 31 after the date of authorization, the authorization given hereunder shall be deemed to be renewed if the Company give client(s) a written reminder at least fourteen (14) days prior to the expiry date of the relevant authorization, and client(s) do not object to such deemed renewal before such expiry date.

若本授權書的英文文本及中文文本在內容上有任何歧異，本人/吾等同意以英文文本為準。

In the event of any discrepancy between the English and Chinese version of this Authorization Letter, I/we agree that the English version shall prevail.

本人/吾等已閱讀及明白本授權書的內容，並同意受本授權書的內容約束。

I/We have read and understood the contents of this Authorization Letter and agreed to be bound by its terms.

Part 12. 電子交易服務 Electronic Trading Service

本人/吾等欲申請使用貴行的電子交易服務，以便就鼎展證券的帳戶(「帳戶」)向貴行發出電子指示。

I/We would like to apply for the Electronic Trading Service for the purpose of giving electronic Instructions to you for the account(s) held with Safe Gold Securities (“Account”).

- 本人/吾等同意儘管貴行與本人/吾等間有關帳戶操作的協議有任何相反的條款，貴行獲授權依賴透過貴行的電子交易服務發出或宣稱發出的有關操作帳戶的電子指示，如發出或宣稱發出該指示的人士能提供(a) 帳戶的號碼；(b) 帳戶的進入密碼；及 (c) 貴行可能需要的其他資料，而貴行無須查詢有關人士的權限或身份。貴行有權視該指示為獲本人/吾等充份授權且對本人/吾等具約束力，儘管指示當中的用詞有任何錯誤或誤解或欠清晰。

I/We agree that notwithstanding anything to the contrary contained in the agreement between the company and me/us in relation to the operation of the Account(s), you are authorized to rely on electronic Instructions given, or purported to be given, through the Electronic Trading Service in relation to the operation of the Account(s) without inquiry on your part as to the authority or identity of the person giving or purporting to give such Instruction, if the person giving the Instruction can quote (a) the number of the Account(s); (b) the Access Code for the Account(s); and (c) such other information as you may require. You are entitled to treat such Instruction as fully authorized by, and binding upon me/us, notwithstanding any error or misunderstanding or lack of clarity in the Instruction.

- 鑒於貴行同意接受本人/吾等對使用貴行電子交易服務的申請，本人/吾等須就貴行因真誠行事而招致或遭受的任何性質及因獲提供的該等指示而產生或與之有關的所有損失、申索、訴訟、法律程序、付款要求、損害賠償、費用及開支，向貴行作出彌補及確保貴行獲得彌償。

In consideration of your agreeing to accept my/our application to use your Electronic Trading Service, I/we agree to shall indemnify you against all losses, claims, actions, proceedings, demands, damages, costs and expenses incurred or sustained by you of whatever nature and howsoever arising out of, or in connection with such Instructions provided only that you act in good faith.

- 本人/吾等同意在電子交易服務下提供的資料是按「現況」及「現時所供應」基準提供，且貴行並不保證資料適時、順序、恰當或完整。貴行就該資料不作任何明文或隱含的保證 (包括但不限於可商售或適合作任何特定用途的保證)。

I/We agree that information provided under the Electronic Trading Service is provided on an “as is”, “as available” basis and you do not guarantee the timeliness, sequence accuracy, adequacy or completeness of such information. You give no express or implied warranties (including but not limited to warranties of merchantability or fitness for any particular use) with respect to such information.

- 本人/吾等確認明白經紀佣金及收費是根據下單渠道(例如，經互聯網、電話或親臨本公司落盤)而釐定，或因不同的下單渠道而有所不同。

I/We acknowledge that the brokerage commission rate and fee are subject to and may vary depending on the channel (e.g. via internet, phone, in person) used to place orders.

- 本人/吾等確認本人/吾等已閱讀、明白及同意，按照本人/吾等選擇的語言 (英文或中文) 提供的有關交易設施及電子交易的風險披露聲明 - 證券交易帳戶及/或風險披露聲明 - 期貨及期權交易，並獲邀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 read, understood and agreed to the Risk Disclosure Statement - Securities Trading Account and/or Risk Disclosure Statement - Futures and Options Trading relating to trading facilities and electronic trading in the language of my/our own preference (English or Chinese) and have been invited to ask questions and take independent advice if I/we wish.

- 進入密碼將會送交至已登記的電郵地址予帳戶持有人。

The Access Code will be sent to the account holder's designated email address

本人/吾等進一步確認本人/吾等已閱讀、明白及同意下述鼎展證券及期貨有限公司(「鼎展證券」)的安全聲明。

I/We further confirm that I/we have read, understood and agreed to the Security Statement of Safe Gold Securities & Futures Limited (“Safe Gold Securities”) as below.

安全聲明 Securities Statement

儘管互聯網在本質上並非安全可靠的通訊環境，但用戶可運用適當的技術加強網絡安全性，然而，互聯網的安全並非純粹「技術」問題，個人及交易數據的保安常識及一般措施亦同樣重要。「黑客」需要有「門戶」才能入侵系統，而「門戶」大開往往是因為用戶傳遞機密文件或處理密碼、個人識別代碼等機密數據時疏忽大意，以致「黑客」有機可乘。因此用戶處理這類文件和數據時務必小心謹慎。

While internet is not an inherently secure environment for communications, security of internet communications can be enhanced by the application of appropriate technology. However, internet security is not solely a technical issue, knowledge on security of personal and transaction data as well as general measure are equally important. "Hackers" could only attack a system through a "door". However, in most cases imprudent transmission and handling of sensitive data such as confidential documents, password, personal identifiers etc. would facilitate unauthorized access to such a "door" by "hackers". Hence, internet users should be cautious when handling such kind of sensitive documents and data.

為嚴格保密從鼎展證券網站用戶獲取的所有個人資料，除使用防火牆和其他精密技術性設備外，鼎展證券還提供及設有其他嚴格的保安措施，以保護鼎展證券的系統、資料和數據，避免任何意外、惡意破壞或損毀。

In order to prudently preserve all personal data obtained from users of Safe Gold Securities' websites, apart from firewalls and other sophisticated technical facilities, Safe Gold Securities also provide and maintain other stringent security measures so as to protect Safe Gold Securities' system as well as the information and data retained therein from accidental or malicious destruction or damage.

對於由鼎展證券網站提供超連結之其他網站，並不視為鼎展證券同意、推薦、認可、保證或推介任何第三方或在其網站所提供的服務／產品，亦不可視為鼎展證券與該等第三方及網站有任何形式的合作。其他連繫鼎展證券網站，而鼎展證券對其沒有控制權之網站，鼎展證券就該等網站所載之內容並不負上任何責任。鼎展證券並不作有關該等內容之準確性或任何其他方面之陳述，並特聲明並不對任何可能由使用該等內容引致之損失或賠償負上任何責任。

By providing hyperlinks to other websites, Safe Gold Securities shall not be deemed to endorse, recommend, approve, guarantee or introduce any third parties or the services/products they provide on their websites, or have any form of cooperation with such third parties and websites. Safe Gold Securities is not responsible for the contents available on any other websites linked to or from Safe Gold Securities' website which are maintained by third parties over whom Safe Gold Securities has no control. Safe Gold Securities makes no representations as to the accuracy or any other aspects of such contents, and expressly disclaims any responsibility for any losses or damages that may arise from or relate to the use of such contents.

經互聯網向鼎展證券傳送電郵信息，不保證完全安全。用戶經互聯網傳送信息給鼎展證券時招致任何損失、或鼎展證券按用戶的要求經互聯網向其發出信息時，令用戶招致任何損失，鼎展證券概不負責。用戶因使用鼎展證券網站而招致任何直接、間接、特殊或從屬的損失，鼎展證券概不負責。

Email messages sent to Safe Gold Securities over the Internet cannot be guaranteed to be completely secure. We are not responsible for any damages incurred by users if they send a message to Safe Gold Securities, or if Safe Gold Securities sends a message to them at their request, over the Internet. Safe Gold Securities is not responsible in any way for direct, indirect, special or consequential damages arising out of the use of Safe Gold Securities' website.

Part 13. 個人資料之使用 Use of Personal Information

本人/吾等已明白及同意一切由鼎展證券（如適用）從本開戶表格或以其他方式獲取而由鼎展證券（如適用）集團成員的相關聯繫或有關聯公司收集或持有的個人資料，均可供鼎展證券（如適用）集團成員使用作以下自願性用途：

I/We have understood and agreed that the personal information collected or held by Safe Gold Securities (as applicable), whether contained in this form or otherwise obtained by the member of the Safe Gold Securities (as applicable) including an affiliated or associated company of a members of the Safe Gold Securities (as applicable), may be used by the member of the Safe Gold Securities (as applicable) for the following voluntary purposes:

- (a) 為鼎展證券（如適用）及/或其他金融服務供應商的金融產品及服務提供市場推廣資料及進行直接市場推廣活動；及
to provide marketing materials and conduct direct marketing activities in relation to financial products and services of Safe Gold Securities (as applicable) and/or other financial services providers; and
- (b) 就鼎展證券（如適用）集團成員的服務及產品發展進行市場調查及研究。
to conduct market research and surveys for the Safe Gold Securities' (as applicable) development of service and product.
- (c) 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）；
to disclose and transfer 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;
- (d) 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
to allow 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
- (e) 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。
to allow 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.
- 本人/吾等不欲鼎展證券（如適用）將本人/吾等的個人資料用於上述自願性用途。
I/we do not want Safe Gold Securities (as applicable) to use my/our personal data for the voluntary purposes set out above.

Part 14. 帳戶操作（只適用於聯名帳戶） Account Operation (For Joint Account only)

交收指示 Settlement Instruction:

- 任何一位聯名帳戶持有人單獨簽署 Any ONE of the Joint Account Holders signing alone
- 任何兩位聯名帳戶持有人共同簽署 Any TWO of the Joint Account Holders signing jointly
- 所有聯名帳戶持有人共同簽署 ALL Joint Account Holders signing jointly
- 基本聯名帳戶持有人單獨簽署 Primary Account Holder signing alone

可有效為證券/期貨進行支付、提取及轉帳事宜。

shall be valid for effecting payment, withdrawal and transfer transaction(s) for securities / futures.

*如客戶沒有就上述帳戶操作作出適當的選擇，則所有聯名帳戶持有人均須簽署以作出交易指示及交收指示。

*Should you do not make an appropriate instruction for the Account Operation as above, ALL Joint Account Holders must sign jointly in order to make Trading Instruction as well as Settlement Instruction.

*任何一位聯名帳戶持有人以口頭指示可有效進行證券及/或期貨交易。

*Oral instruction by any ONE of the Joint Account Holders shall be valid for effecting securities and/or futures transaction(s).

Part 15. 期貨帳戶附錄 Addendum to Futures Account

就有關持有或交易即將到期之實物交收合約，本人/吾等理解、同意及接受以下各項關於當持倉臨近第一個通知日或最後交易日的持倉狀況及交易實物交收之產品風險的要點，及其將適用於即將到期之合約：

I/We understand, agree and acknowledge the following important and applicable points relating to the status of positions and risks of trading physically settled products as the said positions approach the First Notice Day (“FND”) or Last Trading Day (“LTD”), whichever is applicable to that particular expiring contract(s):

- 鼎展證券不會為本人/吾等之持倉進行任何實物交收。

Safe Gold Securities does not facilitate any physical delivery on my/our positions.

- 任何臨近第一個通知日或最後交易日之持倉(以較早者為準)，如果同一期權或期貨合約同時存在長倉與短倉(即同時擁有買入與賣出的合約)但尚未平倉，鼎展證券將會為這些持倉進行平倉以避免相關產品實物交收。

For any positions in relation to the same future and option contract approaching FND or LTD, whichever is earlier, that are already flat (i.e. long position(s) and short position(s) co-exist) but not netted down, Safe Gold Securities will net down such positions to avoid physical delivery of the underlying products.

- 假如本人/吾等持有的即將到期合約於第一個通知日或最後交易日(以較早者為準)之前的兩個交易日尚未平倉，鼎展證券將有權於第一個通知日或最後交易日之前的兩個交易日後的任何時間(以較早日為準)，為本人/吾等進行平倉或轉倉。為避免相關產品實物交收，鼎展證券必需進行上述之平倉。

If my/our position for the expiring contract is not squared (or liquidated) at the last 2 trading days before the FND or LTD, whichever is earlier, Safe Gold Securities will be at its entire discretion to liquidate or rollover my/our position(s) at any time on or after the last 2 trading days before the FND or LTD, whichever is earlier. The aforesaid liquidation is necessary in order to avoid physical delivery of the underlying product(s).

- 鼎展證券只會盡其所能進行於上文第 3 段提及的平倉及轉倉但並不保證平倉及轉倉帶來之任何後果。如果鼎展證券未能成功平倉或轉倉，鼎展證券在任何情況下不會因本人/吾等之持倉需要進行相關產品實物交收或未能成功進行相關產品實物交收而對本人/吾等產生任何直接或間接虧損、成本或損失負上法律責任。

The liquidation and rollover actions as stated in Paragraph 3 hereinabove by Safe Gold Securities will only be carried out at its best efforts and there is NO guarantee of any outcome. In the event that Safe Gold Securities is unable to carry out the liquidation or rollover successfully, Safe Gold Securities will NOT under any circumstances be held liable to me/us for any direct or indirect loss, cost or damages of any kind arising from my/our position(s) being subsequently subjected to physical delivery or not being able to effect physical delivery of the underlying products.

- 在任何情況下，為本人/吾等即將到期之合約平倉及轉倉仍然是本人/吾等之責任。假如本人/吾等打算為即將到期之合約於第一個通知日或最後交易日(以較早者為準)，之前的兩個交易日當天或之後的任何時間進行平倉及轉倉，本人/吾等有責任提前通知鼎展證券。惟本人/吾等不應依賴鼎展證券及/或其員工提醒本人/我們作出上述通知行動。

Under all circumstances, it is still my/our sole responsibility to liquidate or rollover my/our own expiring contract positions. If I/we intend to liquidate or rollover my/our expiring contract position(s) on or after the last 2 trading days before the FND or LTD, whichever is earlier, I am/we are then responsible for informing Safe Gold Securities of the same well in advance. I/we must NOT however rely on Safe Gold Securities and/or its staff members to remind me/us to do the same.

- 本人/吾等謹此同鼎展證券有權支付及/或轉移本人/吾等的資金(或有需要進行貨幣兌換) (a) 到任何本人/吾等在鼎展證券的帳戶以為了滿足任何保證金的要求或任何帳戶的應繳款項；及/或 (b) 到一個鼎展證券代表本人/吾等的獨立帳戶(包括任何在香港及/或任何司法管轄區的金融機構開立及維持的獨立帳戶)，通過本人/吾等的書面授權，該書面授權可以常設授權形式發出。

I/we hereby agree that Safe Gold Securities shall be entitled to pay and/or transfer any money of me/us (currency conversion may be required if necessary) (a) into any account(s) maintained by me/us with any of Safe Gold Securities for the purpose of satisfying any margin requirements or any amount due under any Account; and/or(b) into a segregated account (include any segregated account that is established and maintained with any financial institution with in Hong Kong and/or in any jurisdictions) of any of Safe Gold Securities to hold on behalf of the me/us, via the my/our written authorization to Safe Gold Securities, which written authorization may take the form of a standing authority.

- 若本人/吾等指示鼎展證券在任何交易所訂立任何以外幣進行交易的合約，本人/吾等明白及同意 (i) 由於有關貨幣的匯率波動產生的匯兌盈虧，將全部記入本人/吾等的帳戶內，有關風險概由本人/吾等承擔；(ii) 將會按照鼎展證券獨自酌情決定的貨幣及金額記錄有關保證金；及 (iii) 鼎展證券獲授權按照鼎展證券根據當時通行的貨幣市場匯率而獨自酌情釐定的匯率，將任何帳戶的款項轉換成為鼎展證券獨自酌情決定的貨幣，或從有關貨幣轉作帳戶貨幣。

In the event that I/we direct Safe Gold Securities to enter into any contract on an Exchange on which Transactions are effected in a foreign currency, I/we understand and agree that (i) any profit or loss arising as a result of a fluctuation is the exchange rate effecting such currency will be entirely for my/our account and risk; (ii) margin shall be

recorded in such currency or currencies, in such amounts as Safe Gold Securities may in Safe Gold Securities' sole discretion elect; and (iii) Safe Gold Securities is authorized to convert funds in any Account into and from such foreign currency at a rate of exchange determined by Safe Gold Securities in Safe Gold Securities' sole discretion on the basis of then prevailing money markets rates.

本人/吾等知悉及明白 (i) 期貨帳戶之產品規格 (ii) 保證金政策及毋須本人/吾等同意而可將本人/吾等買賣盤平倉; 及 (iii) 收訖關於期貨帳戶之以下鼎展證券的資料。

I/We also acknowledge and understand (i) the features and specifications of the products; (ii) the explanation of the margin policy and the circumstances under which my/our positions may be closed without my/our consent; and (iii) the receipt of the following information of Safe Gold Securities for the Futures Account.

Part 16. 客戶聲明、確認及協議 Declarations, Confirmation and Agreement By Client

本開戶表格的資料均屬真實及正確，除非鼎展證券收到任何客戶資料改變的書面通知，鼎展證券將有權依據這些資料及陳述，作任何用途或目的。客戶授權鼎展證券可在任何時間聯絡任何人，包括客戶的銀行、經紀等任何信貸機構，藉以確定及查證本開戶資料表格內的資料。

The information contained in this Account Opening Form is true and accurate. Safe Gold Securities is entitled to rely fully on such information and representations for all purposes, unless Safe Gold Securities receives notice in writing of any change. Safe Gold Securities is authorized at any time to contact anyone, including the client's banks, brokers or any credit agency, for the purpose of verifying the information provided on this Account Opening Form.

本人/吾等謹此承諾並確認 I/We hereby acknowledge and confirm that

- 本人/吾等已收到、閱讀及明白證券交易帳戶/期貨交易帳戶協議內之條款 (包括其附表、附錄及附件(如有)) (「協議」) 而本人/吾等接納並同意受該等條款約束； I/we have received, read and understood the terms and conditions contained in the Agreement for Securities Trading Account / Agreement for Futures Trading Account (and the schedules, appendices and annexes thereto, if any) (the "Agreement"), and I/we accept to be bound by them;

- 本人/吾等是為結算、保管、保證金、交易或其他用途提供予或存入(或將來提供予或存入) 鼎展證券的所有金錢、資金、證券、抵押品或其他資產之實益擁有人，鼎展證券無需另行查證這些金錢、資金、證券、抵押品或資產的來源或擁有權。如客戶並非實益擁有人，客戶須立即通知鼎展證券實益擁有人的身份及資料(或該資料其後的變更)。鼎展證券有絕對酌情權決定是否接納該等金錢、資金、證券、抵押品或資產及/或有關指示，且無須 因為其接納或拒絕而引致(直接或間接)或與之相關客戶所蒙受的任何損失、損害賠償、開支或利潤損失承擔法律責任；

I am/We are the beneficial owner(s) of all moneys, funds, Securities, collateral or other assets provided or deposited or to be provided or deposited by the Client to or with Safe Gold Securities for settlement, safekeeping, margin, trading or other purposes, and Safe Gold Securities shall not be required to inquire into the source or ownership of such moneys, funds, Securities, collateral or properties. In the event that the Client is not the beneficial owner (s), the Client shall promptly inform Safe Gold Securities of the identities and particulars of the beneficial owner(s) and any subsequent changes to such information. Safe Gold Securities shall have the absolute discretion in accepting or refusing any or all such moneys, funds, Securities, collateral or properties and/or the relevant instructions, and Safe Gold Securities shall not be held liable for any loss, damages, expenses, loss of profit whatsoever suffered and/or incurred by the Client arising out of (directly or indirectly) or in connection with such acceptance or refusal;

- (適用於聯名帳戶) 聯名客戶同意鼎展證券可按照本表格的第 14 部份之授權或接受聯名客戶的其中任何一位或所有人士所發出有關帳戶的任何指示 (鼎展證券無責任向其他聯名客戶發出通知或取得其授權)。本協議中「客戶」一詞應包括每位聯名客戶，且各聯名客戶在本協議下的責任須共同及個別承擔； (Applicable for Joint Account) The Joint Clients agree the Safe Gold Securities shall be entitled to accept the instructions of any of the joint Clients in relation to the Account (without any obligation for Safe Gold Securities to give notice to or obtain authorization from the other joint Client) based on the authorization instruction contained in Part 14 of this Form. The expression "Client" in this Agreement shall include each joint Client and the liabilities of the joint Clients under the Agreement shall be joint and several;

- 鼎展證券有絕對酌情權修訂、更改、刪減或取代本協議之任何條款或加入新的條款。修訂通知及修改後之本協議將刊載於鼎展證券網站之《重要條款》專欄內。該修訂、刪減、取代或增加的條款將於相關修訂通知刊載之日起生效，並被視為納入本協議內。客戶可於修訂通知在鼎展證券網站上刊載後十四天內以書面向鼎展證券提出反對，否則會被視為接受該修訂、刪減、取代或增加的條款；

Safe Gold Securities shall have absolute rights to change, amend, delete or substitute any of the terms in or add new terms to the Agreement. An amendment notice and the revised Agreement will be posted at the "Important Terms" column of the Safe Gold Securities Website. Such amendment, deletion, substitution or addition shall be deemed effective and incorporated therein (and shall form part of the Agreement on the date of publication or issuance of such amendment notice. The Client may raise written objection within fourteen (14) days after the publication or issuance of such amendment notice on Safe Gold Securities' website And the Client shall be deemed to have accepted such amendment, deletion, substitution or addition if no such objection is raised;

- [適用於客戶(機構客戶除外)以其在香港持牌銀行開立的帳戶所簽發的支票及將有關支票兌現(該支票的數額不得少於 10,000 港元, 並須載有該客戶在身分證明文件上所顯示的姓名) 加以核實其身份]客戶知悉及同意有關新帳戶必須待清算支票後才可使用;

(Applicable where the identity of the Client (other than corporate entities) is verified by a cheque (amount not less than HK\$10,000 and bearing the Client's name as shown in his/her identity document) issued by the new Client and drawn on the Client's account with a licensed bank in Hong Kong) The Client acknowledges and agree that the new account will not be activated until the cheque is cleared;
- 本人/吾等授權鼎展證券指示, 聘用及委任其按絕對酌情權視為適當的執行或結算經紀、代理人、託管人、代名人、海外經紀及交易商(包括鼎展證券的分行或附屬成員), 以代表客戶執行、進行、交易、實施、結算及交收任何指示及交易。客戶知悉及同意承擔因相關代理人違約、未能履行其責任, 或相關代理人破產、停業, 而導致客戶無法完成交易或蒙受損失之風險, 且鼎展證券不須對上述引致的損失或損害承擔責任;

I/We authorize Safe Gold Securities to instruct, engage and appoint such executing or clearing brokers, agents, custodians, nominees, overseas broker and dealers (including branches or affiliates of Safe Gold Securities) (together, "Agents") as Safe Gold Securities may in its absolute discretion deem fit to execute, effect, trade, implement, clear and settle any instructions and transactions on the Client's behalf. The Client acknowledges and accepts the risks of loss or failure in completion of transactions in the event of the defaults, failure of any Agent in fulfilling its roles or winding up or cessation of business of such Agent, and Safe Gold Securities shall not be responsible for any losses or damages incurred or suffered as a result thereof;
- 本人/吾等明白且同意, 鼎展證券有權不時要求提供其認為合適的該些文件及資料(包括但不限於客戶、客戶委任代表其就帳戶發出指示的任何人士(“獲授權人士”)及就客戶而言的任何實益擁有人、最初負責發出指示的人士、將會從交易中取得商業或經濟利益或承擔其商業或經濟風險的人士之身份、指示或開立帳戶之目的及預期交易性質、資金來源及由來、預期將進行的活動程度及獲授權人士之權限), 以遵守任何法規要求 (包括但不限於防止清洗黑錢、恐怖分子資金籌集及提供財務及/或其他服務予可能受制裁之人士或實體)及於開立帳戶或接受任何指示前進行客戶身份辨別、核實及盡職審查。若未能提供該些文件或資料或客戶身份辨別、核實及盡職審查程序未能以令鼎展證券滿意的方式完成, 則鼎展證券有權拒絕開立帳戶, 或暫止或終止帳戶, 或拒絕接受指示;

I/We understand and agree that Safe Gold Securities has the right to request such documents and information, including but not limited to, the identities of the Client, any person appointed by the Client to give instructions on its behalf in relation to the Account (“Authorized Persons”), any beneficial owner in relation to the Client or the persons ultimately responsible for originating instructions or who stand to gain the commercial or economic benefit of transactions or who bear the commercial or economic risk, the purpose and intended nature of the instructions or the opening of the Account(s), the source and origin of funds, the anticipated level of activity to be undertaken and the authority of the Authorized Persons from time to time as it deems appropriate for the purpose of complying with any regulatory requirements (including but not limited to the prevention of money laundering, terrorist financing and provision of financial and/or other services to persons or entities which may be subject to sanctions) and conducting client identification, verification and due diligence before opening the Account or accepting any instructions. Safe Gold Securities may refuse to open, suspense or terminate the Account or reject the instructions if such documents or information are not provided or the client identification, verification or due diligence exercise is not completed to the satisfaction of Safe Gold Securities;
- 本人/吾等已獲提供以本人/吾等選擇語言(英文或中文)所撰寫的風險披露聲明;

The risk disclosure statements were provided to me/us in a language of my/our choice (English or Chinese);
- 本人/吾等已獲邀請參閱風險披露聲明, 並按其意願提出問題及諮詢獨立意見; 及

I/We was/were invited to read the risk disclosure statements, and to ask questions and take independent advice if I/we so wished; and
- 本人/吾等已參閱鼎展證券給予客戶有關《個人資料(私隱)條例》的通知 (載於證券交易帳戶/期貨交易帳戶協議內), 並明白且同意其條款。

I/We have read Safe Gold Securities' Circular to Clients Relating to the Personal Data (Privacy) Ordinance (as contained in the Agreement for Securities Trading Account / Agreement for Futures Trading Account), understand and agree to its terms.

確認簽署及簽名樣式 Confirmation Signature(s) & specimen signature(s)

客戶簽署 (個人/ 基本聯名帳戶持有人) Client Signature (Individual / Primary Joint Account Holder)

姓名 (正楷) Name (Block Letter)



日期 Date:

*** 如開戶申請表並非在鼎展證券或聯繫人士的職員/代理人見證下簽署, 帳戶持有人必須遵從以下程序要求:

1. 交給鼎展證券在香港持牌銀行開立的帳戶所簽發不少於港元 10,000 的個人支票, 該支票的簽名及姓名須與本表格的客戶簽名及身份證明文件相符, 而支票抬頭須為“鼎展證券及期貨有限公司”。客戶的帳戶必須待支票兌現後才可使用。
2. 由其他持牌人或註冊人、鼎展證券的聯繫人士、太平紳士、銀行分行經理、執業會計師、律師或公證人見證客戶的簽名及身份證明文件。

*** If this account opening form is not executed by the client(s) in front of Safe Gold Securities' employee, customer should comply with the following procedural requirement.

1. Send a personal cheque in favor of Safe Gold Securities for not less than HKD10,000 drawn on an account with a licensed bank in Hong Kong, bearing the signature(s) as on this Form and name(s) as on the identity document(s). The new account will not be activated until the cheque is cleared.
2. Have any other licensed or registered person, associate of Safe Gold Securities, justice of the peace, branch manager of a bank, certified public accountant, lawyer or notary public certify the signature and identity documents of the account holders.

見證人資料 Witness Information

見證人中文姓名 Chinese Name of Witness		見證人英文姓名 English Name of Witness	
職業 Occupation		聯絡電話 Phone No.	
身份證/護照號碼 ID Card No./ Passport No.		牌照編號 License No.	
見證人簽署 Signature		日期 Date	

辦公室地址 Office Address:

文件查核列表 Document check list

1. 已核實的身份證或護照副本 Certified ID Card/Passport Copy
2. 最近三個月內的住址證明文件副本 Address proof issued within 3 months
3. W-8ben 或 W-9 表格 W-8ben/W-9 form
4. 僱主書面同意 (如適用) Employer consent letter (if applicable)
5. 在香港持牌銀行開立的帳戶所簽發的支票 (如適用) A cheque issued by a Hong Kong licensed bank (if applicable)
 - 數額不得少於 HK\$10,000 With a sum not less than HK\$10,000
 - 須載有客戶在身份證明文件上所顯示之姓名 Bearing your name identical to your identity documents.
 - 抬頭為「鼎展證券及期貨有限公司」 Payable to " Safe Gold Securities & Futures Limited "
 - 客戶支票的簽名須與開戶表格上之客戶簽署相符 Bearing your signature identical to the signature shown on the Account Opening Form.

鼎展證券及期貨有限公司持牌人士聲明

Declaration by Safe Gold Securities & Futures Limited Licensed Person

本人(姓名見下), 為鼎展證券及期貨有限公司之持牌人士, 謹此聲明, 本人:

- a. 已向客戶提供以客戶選擇語言(英文或中文) 所撰寫的風險披露聲明; 及
- b. 已邀請客戶參閱風險披露聲明, 並按客戶的意願提出問題及諮詢獨立意見。

I, named below, a licensed person of Safe Gold Securities & Futures Limited, hereby declare that I have:

- a. Provided to the above-named Client the risk disclosure statements in a language of the Client's choice (English or Chinese); and
- b. Invited the Client to read the risk disclosure statement, ask questions and take independent advice if the Client wishes.

持牌人士簽署 Licensed Person Signature	日期 Date
持牌人士姓名 Licensed Person Name	中央編號 CE No.

核准及接納 Approved and accepted by

鼎展證券及期貨有限公司 Safe Gold Securities & Futures Limited

獲授權人士簽署 Authorized Signature	獲授權人士姓名 Full Name of Authorized Person
	日期 Date

FOR INTERNAL USE ONLY

* Unless otherwise specified, commissions shall be charged according to the Fees Schedule which are subject to change from time to time.

FOR SECURITIES TRADING

	HK Stock	Others (Please specify)	Remarks
Trading Limit / Maximum Margin	HKD		
Credit Limit	HKD		
Interest Rate		%	
Min Commission	HKD		
Brokerage Rate		%	

FOR FUTURES AND OPTIONS TRADING

	Local		Global		Remarks
	Futures	Options	Futures	Options	
Maximum Margin (Futures/Options) (HKD)					
Credit Limit (HKD)					
Commission Rate (Day Trade)					
Commission Rate (Overnight Trade)					

Account Received by (AE/ House)	Document Checked by:	AML Checked by:	Information Inputted by:	Checked by:
Signature / Initial	Signature / Initial	Signature / Initial	Signature / Initial	Signature / Initial
Date	Date	Date	Date	Date