

INSTITUTIONAL CASH ACCOUNT OPENING FORM

機構現金戶口開戶申請書

客戶需知 — 請細閱及在適當位置簽署

客戶類別	客戶簽名頁數
Institutional 機構開戶	p.4, p.6(如適用), p.7, p.8

INSTITUTIONAL CASH ACCOUNT OPENING FORM

機構現金戶口開戶申請書

Account No.:
戶口號碼

Account Applicant's Personal Information 戶口申請人之個人資料

Name in English 英文	Name in Chinese 中文
Certificate No. of Incorporation 公司註冊號碼	Place of Incorporation 公司註冊地
Nature of Business 業務性質	Business Registration No. in Hong Kong 香港商業登記證號碼
Tel No. 電話號碼	Date of Incorporation 註冊日期 (dd/mm/yyyy 日/月/年)
Fax No. 傳真號碼	
E-mail Address 電郵地址	
Registered Address 註冊地址	
Principal Business Address 主要營運通訊地址	
Mailing Address 通信方法 : <input type="checkbox"/> Correspondence Address 通訊地址 <input type="checkbox"/> E-mail 電郵	
Purpose of account opening 開戶目的	
Source of Fund 資金來源 <input type="checkbox"/> Business/Investment 營業收入/投資 <input type="checkbox"/> Other (provide details) 其他 _____	

Licensed / Registered Person Declaration 持牌 / 註冊人士申報

Is any applicant's director, shareholder or authorized person related to any employee or licensed representative of Leading Securities Company Limited or its associated company? 貴公司是否有任何董事、股東、獲授權人士與 立鼎證券有限公司 (以下簡稱“立鼎”) 或其聯繫公司的任何僱員或持牌代表有關連?	
<input type="checkbox"/> No 否	<input type="checkbox"/> Yes 是
Name 姓名: _____	Relationship 關係: _____
Name 姓名: _____	Relationship 關係: _____
Is applicant a member or participant registered with any stock or commodities exchange or regulated or supervised by any government or regulatory agency? 貴公司是否為任何股票或期貨交易所的註冊會員或參與者, 或受任何政府或監管機構所規管或監管?	
<input type="checkbox"/> No 否	<input type="checkbox"/> Yes 是
Licence No. 牌照號碼: _____	
Is any of applicant's director, shareholder or authorized person is licensed/registered person of SFC? 貴公司是否有任何董事、股東、獲授權人士是證監會持牌/註冊人士?	
<input type="checkbox"/> No 否	<input type="checkbox"/> Yes 是
Name 姓名: _____	Relationship 關係: _____
Name 姓名: _____	Relationship 關係: _____

Nature of Entity 組織類別

a <input type="checkbox"/>	<p>Recognized exchange company / clearing house / automated trading services provider</p> <p>交易所/結算所/自動化交易服務提供者</p>	g <input type="checkbox"/>	<p>HK registered occupational retirement scheme / offshore scheme / its administrator defined under the Occupational Retirement Schemes Ordinance or its offshore equivalent or the administrator</p> <p>香港註冊的職業退休計畫 / 離岸計畫 / 其經《職業退休計畫條例》所訂明的管理人</p>
b <input type="checkbox"/>	<p>HK licensed corporation / registered institution or regulated investment services provider outside Hong Kong</p> <p>香港持牌仲介人/受香港以外地方規管投資服務提供者</p>	h <input type="checkbox"/>	<p>HK registered retirement scheme / constituent fund / approved trustee / service provider regulated under the Mandatory Provident Fund Schemes Ordinance / investment manager of the registered retirement scheme or constituent fund regulated under the Mandatory Provident Fund Schemes Ordinance</p> <p>香港註冊的退休計畫 / 成分基金 / 經核准的受託人 / 《強制性公積金計畫條例》規管的服務提供者 / 屬香港註冊的退休計畫或成份基金的投資經理</p>
c <input type="checkbox"/>	<p>HK regulated bank / deposit taking company or regulated bank outside Hong Kong</p> <p>香港認可的財務機構/受香港以外地方規管的銀行</p>		
d <input type="checkbox"/>	<p>HK regulated insurance company or regulated insurance company outside Hong Kong</p> <p>香港認可 / 受香港以外地方規管的保險公司</p>	i <input type="checkbox"/>	<p>1. Wholly owned subsidiary of the investor in (b) or (c) above</p> <p>唯上述 (b)及(c) 的全資附屬公司</p> <p>2. Holding Company which wholly owns all issued share capital of (b) or (c) above</p> <p>擁有上述(b)及(c)的附屬公司的全資控股公司</p> <p>3. Other wholly owned subsidiary of a holding company referred to in (2)</p> <p>上述(2)提及的控股公司的其他全資附屬公司</p>
e <input type="checkbox"/>	<p>HK SFC-authorized fund or regulated collective investment scheme outside Hong Kong</p> <p>香港認可基金/受香港以外地方規管的集體投資計畫</p>		
f <input type="checkbox"/>	<p>Government (other than municipal government) / central bank / multilateral agency</p> <p>政府(市政府除外) / 中央銀行 / 多邊機構</p>		

Declaration On The Relationship 聯系申報

Is the Corporate in control of 35% or more of the voting rights of a company, or does the Corporate belong to the same group of companies as of another company, which maintained account with Leading Securities Company Limited?

貴公司有否持控另一公司百分之三十五或以上之表決權益，或者，貴公司是否屬另一公司的集團公司成員，而該公司現正持有立鼎證券有限公司任何相關帳戶？

No 否 Yes 是 Account No 帳戶號碼: _____ Relationship 關係: _____

Acknowledgements and Confirmations 確認及保證

General Acknowledgements and Confirmations

- In connection with the services to be provided by Leading Securities Company Limited (the "Company") to me/us, I/we provide the information set out above regarding ourselves to the Company. I/We represent, warrant, declare and confirm that all such information and any other information provided in and in connection with this Form and any other documents that I/we may sign or enter into from time to time is and will be true and correct and that the Company may from time to time rely on such information in all matters concerning our mutual relations. I/We hereby undertake to notify the Company in writing, within 30 days, of any change in the information provided in and in connection with this Form and any other documents signed or entered into by me/us from time to time.
- I/We acknowledge and confirm that I/we have been advised by the Company to obtain independent professional advice with respect to any service(s) provided to me/us by the Company and the legal implications of me/us signing/entering into this Form and any other documents that I/we may from time to time sign or enter into with respect to any such service(s).
- Without prejudice to the terms and conditions of the relevant service agreement(s) and/or any other agreement(s) entered into between the Company and me/us, by signing this Form, I/we expressly consent that, pursuant to applicable local or foreign laws, regulations and rules including the U.S. Foreign Account Tax Compliance Act (FATCA), Leading (comprising the Company and/or its holding company, any subsidiary or affiliate of the Company or its holding company and any of their branches, offices or units, in each case whether within or outside Hong Kong) may:
 - disclose, report, or share my/our information (and/or information of the beneficial owner(s) of the relevant account(s) where applicable) with local or overseas regulators or tax authorities (such as the U.S. Internal Revenue Service) to establish relevant tax liability in any jurisdiction; and
 - withhold and deduct such amount from my/our relevant account(s), if any, or from any payments by the Company as required by local or overseas regulators or tax authorities.
- I/We understand and confirm that English version of this Form and/or any other documentation is the governing version and shall prevail whenever there is any discrepancy between the English version and the Chinese translation of it.

一般性確認及保證

- 就有關立鼎證券有限公司("立鼎")向本人/吾等提供的相關服務而言，本人/吾等向立鼎提供以上有關本人/吾等的資料。本人/吾等表示、保證、聲明並確認所有上述資料和任何其他與本表格相關的資料，以及任何其他本人/吾等不時簽署或訂立的文件均屬真實準確的，立鼎可以就有關我們之間的相互關係對該等資料加以倚賴。本人/吾等在此承諾，若有任何與本表格及本人/吾等不時簽署或訂立的任何其他文件所提供的資料發生變更時，本人/吾等會於三十日內以書面通知方式知會立鼎。
- 本人/吾等承認並確認，立鼎已建議本人/吾等就立鼎提供給本人/吾等之任何服務，以及本人/吾等就任何該等服務簽署或訂立本表格及本人/吾等不時簽署或訂立的其他文件之法律含義，諮詢獨立專業意見。
- 在不損害立鼎與本人/吾等簽署之有關服務協議及/或其他協議的條款和條件的原則下，在簽署本表格後，即表示本人/吾等明確地同意根據適用的本地或外國法律、規例及規則包括美國海外戶口稅收合規法案(FATCA)之規定，立鼎(包含在香港境內外的立鼎和/或立鼎的控股公司、立鼎或立鼎控股公司的任何附屬公司或關聯機構以及立鼎或立鼎控股公司的分行、辦事處或單位)可：
 - 向本地或海外監管機構或稅務機構(如美國國家稅務局)披露、呈交或提供本人/吾等之資料(和/或有關戶口的實益擁有人的資料，如適用)以確立於任何司法管轄區的相關稅務責任；及
 - 按本地或海外監管機構或稅務機構之要求，從本人/吾等的有關戶口(如有)或任何立鼎作出的付款中預扣及扣減所需款項。
- 本人/吾等明白並確認，本表格及/任何其他文件的英文文本為管轄文本，英文文本與中文翻譯文本有出現歧義時，以英文文本為準。

Signed by 客戶簽署

Authorized Signature(s) / Company Chop 獲授權人士簽署/公司蓋章:

Authorized Signature(s) Name 獲授權簽署姓名:

Title 職銜: _____

Date 日期: _____

Authorized Instructions 授權指示

The applicant has authorized in a resolution (as attached) any of the following person(s) as (the "Trading Officer(s)") with full discretion to give written and /or oral instructions in relation to buying, selling or other dealing in securities for the Account.

申請者根據公司決議(見附件)授權以下人士及“交易人員”全權就所開立之交易戶口的交易，以書面及/或口頭方式發出買、賣或其他相關交易指示。

Name 姓名	Relation/Position 關係/職位	ID/Passport No. 身份證/護照號碼	Contact No. and Email 聯絡電話及電郵地址	Signature 簽署

Signing Arrangement 簽署安排

The applicant has authorized in a resolution (as attached) that the Account may be operated on the instructions of any _____ of the following person(s) the "Signing Officer(s)", pursuant to signature arrangements below:

申請者根據公司決議(見附件)授權戶口將按以下所列的簽名安排，由下列的任何 _____ 人士(“文件簽署人員”) 發出運作指示：

Name 姓名	Relation/Position 關係/職位	ID/Passport No. 身份證/護照號碼	Contact No. and Email 聯絡電話及電郵地址	Signature 簽署

Applicant's Banker Reference 申請者銀行

(Funds will be transferred to the following account pursuant to your fund withdrawal instruction. 款項將根據客戶的提款指示轉入以下戶口)

<input type="checkbox"/> Banker 銀行 <input type="checkbox"/> Other 其他	
Banker's Name 銀行名稱：	
Account Name 帳戶名稱：	Account No. 帳戶號碼：
	HKD: _____
	USD: _____
	CNY: _____
	Multi-currency: _____

BOARD RESOLUTION 公司決議

We hereby certify that the following board resolutions have been passed by the Board of Directors of _____ (the Company) at a Meeting of the board duly convened and held at _____ on _____ at which a quorum was presented and acted throughout in accordance with the Articles of the Company and have been duly recorded in the Minutes Book of the Company without amendment and that the same are now in full force and effect.

公司茲確認，下列決議案經 _____ (下稱「公司」) 董事會於 _____ 年 _____ 月 _____ 日，在 _____ 正式召開之董事局會議通過，該會議自始至終按照公司章程規定維持足夠法定人數，保持並載入公司之會議記錄冊內，而該決議案未有被修訂，並且正全面執行及生效。

IT WAS RESOLVED 決議通過：

1. THAT a securities cash (* **Client / House**) account ("the Account (s)") be opened with Leading Securities Company Limited ("the Broker")
於立鼎證券有限公司 (下稱「經紀」) 開立股票 (* **客戶 / 自營**) (請刪去不適用者) 現金交易帳戶 (下稱「帳戶」)。
2. THAT a client services agreement ("the Agreement") was tabled in the meeting and the terms set out in the Agreement and the particulars in connection with the opening of the Account were approved and adopted in all aspects and as amended from time to time.
客戶協議書 (下稱「協議書」) 已於會議中傳閱協議書中的條款與開立帳戶有關的詳情已獲批准，其全部及不時之修改亦已採納。
3. THAT any director of the Company and/or each of the following persons (each an Authorized Person) has the power to do any and all of the following: 任何公司董事及/或每一下列人士 (每一授權人) 有權作任何及全部下述行為：
 - i. To sign any document in connection with the opening of the Account(s) and to deliver the signed original to The Broker;
簽署任何與開立該帳戶有關的文件並把正本送達經紀；
 - ii. To give written instructions to The Broker with respect to securities trading transactions;
向經紀發出有關證券交易的書面指令；
 - iii. To bind and commit the Company to any contract, arrangement or transaction entered into with or through The Broker for and on behalf of the Company;
致使公司予以約束及承諾履行其代表公司與或透過經紀所訂立的任何合約、安排或交易；
 - iv. To deliver any amount of any agreed money or securities to The Broker and to authorize the transfer or delivery of any amount or any money or securities to any other person;
交付任何金額及任何相互同意之貨幣或證券至經紀及授權轉賬或交付任何金額及任何貨幣 或證券予任何其他人仕；
 - v. To settle, compromise, adjust and give releases in connection with any such Account with respect to any and all claims, disputes and controversies;
就有關此帳戶的任何及所有索償，糾紛及衝突，進行解決、和解、調整或給予對方豁免；
 - vi. To do and take any and all action necessary in connection with the Account.
進行及採取任何及 / 或全部與帳戶有關的所需行動。
4. THAT these Resolutions shall remain in force, and that The Broker shall be entitled to rely on the same until an amending resolution shall be passed and has been received by The Broker.
此決議將維持有效，而經紀有權依賴此決議直至修訂決議通過及被經紀接獲。

Name 姓名	Relation/Position 關係/職位	ID/Passport No. 身份證/護照號碼	Contact No. and Email 聯絡電話及電郵地址	Signature 簽署

Signature of Director(s) 董事簽署

Name 姓名

Date 日期

* Please delete as appropriate 請刪去不適用者

Declaration 聲明

The Account Applicant(s) represent(s) that the information on this Account Application Form is true, complete and correct and that the representations in the attached Client Agreement of Leading Securities Company Limited (the "Company") (including Financial Profile and Investment Experience, if applicable) ("Agreement") are accurate. Information on this Account Application Form and representations in the Agreement are collectively referred as the "Account Opening Information". The Company is entitled to rely fully on such Account Opening Information for all purposes, unless the Company receives notice in writing of any change. The Company is authorized at any time to contact anyone, including but without limitations to banks, brokers or any credit agency of the Account Application(s), for purposes of verifying the Account Opening Information.

All transactions to be concluded with or through the Company shall be subject to the terms and conditions of the Agreement. Please read the Agreement carefully before signing this Account Application Form. By signing below, the Account Applicant(s) confirm(s) that he/she/they have/has read, understood and accepted the Agreement, in particular the section entitled "Risk Disclosure Statements" and shall be bound by the Agreement as it may be amended from time to time.

戶口申請人茲聲明在本開戶申請表內的資料屬實、完整及正確，立鼎證券有限公司(「本公司」)的<<客戶協議>> (如適用，包括財務紀錄及投資經驗) (以下簡稱為「協議」) 內的一切申述準確。本開戶申請表內的資料及「協議」內的申述，以下統稱為「開戶資料」。除非本公司接到更改有關「開戶資料」內容的書面通知，本公司有權在任何用途上完全依賴這些「開戶資料」。本公司有權隨時聯絡任何人，包括但不限於戶口申請人之銀行、經紀或任何信貸調查機構，以求證實「開戶資料」內所載之內容。

所有由本公司與或透過本公司進行之交易均受「協議」之條文限制。請於簽署本開戶申請表前，細閱「協議」各項條文。於下方簽署乃確認閣下已細閱、明白及同意「協議」之一切內容(尤其「風險披露聲明」一節)，並接受該等現時有效及不時修改的條文約束。

Applicant(s) Signature 申請人簽署

Authorized Signature(s) / Company Chop

獲授權人士簽署 / 公司蓋章

Authorized Signature(s) Name 獲授權簽署姓名:

Date 日期:

Certification of Client Signature and Identity Proof (if applicable) 見證客戶簽署及身份證明文件驗證 (如適用)

If this Account Opening Form is not executed in front of **Leading Securities Company Limited's** SFC licensed person and is not submitted with an appropriate cheque+, a specified person, including any SFC licensed or registered person, a Justice of Peace, practising Certified Public Accountant, practising solicitor or Notary Public, should be required to sign below.

若客戶並非在**立鼎證券有限公司**之指定僱員面前簽立本開戶表格及本開戶表格並非連同恰當的支票 + 一併遞交，則以下部分應由指定人士，包括其他證監會持牌人或註冊人、太平紳士或專業人士例如執業會計師、執業律師或公證人，簽署驗證。

The undersigned person hereby certifies the signing of this Account Opening Form (together with the Client Agreement) by the above Client(s) and sighting of related identity documents of such Client(s)

下述簽署人士謹此驗證上述客戶簽立此文件(連同客戶協議書) 及其有關的身份證明文件：

Date of Birth (dd/mm/yyyy) 出生日期 (日/月/年)	
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Signed and Certified by 簽署及驗證	Name 姓名: _____
	Profession / Title 所屬專業及職銜: _____

Contact No 聯絡電話	
-----------------	--

聯絡地址 Address

A crossed cheque bearing your name shown in your identity document and drawn on your account with a licensed bank in Hong Kong with your same signature(s) as shown on this Form in favour of "**Leading Securities Company Limited**" for not less than HKD10,000. Your approved new account will not be activated until the cheque is cleared.

+客戶在香港的持牌銀行開立的帳戶並由客戶所簽發(該簽名須與此開戶表上的客戶簽名相符)並載有客戶在其身份證明文件上所顯示的姓名的劃線支票，而該支票抬頭人須為"**立鼎證券有限公司**"及其數額不得少於10,000 港元。客戶被批核的新帳戶必須待支票兌現後才可使用。



Standing Authority 常設授權

根據《證券及期貨(客戶款項規則)》所設立的常設授權

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

本授權書涵蓋爾等為本人/吾等在香港收取或持有並存放於一個或多個獨立帳戶內的款項（包括因持有並非屬於爾 等的款項而產生之任何利息（下稱「款項」）。 除非另有說明，本授權書之名詞與證券及期貨條例及證券及期貨（客戶款項）規則不時修訂之定義具有相同意思。
本授權書授權爾等：

1. 組合或合併爾等立鼎證券有限公司所維持的任何或全部獨立帳戶，此等組合或合併活動可以個別或與其他帳戶聯合進行，爾等可將該等獨立帳戶內任何數額之款項作出轉移，以解除本人/吾等對立鼎證券有限公司的義務或法律責任，不論此等義務和法律責任是確實或突然的，原有或附帶的、有抵押的、共同或分別的；及
2. 從立鼎證券有限公司任何成員於任何時候維持的任何獨立帳戶之間來回調動任何數額之款項。 爾等可不向本人/吾等發出通知而採取上述行動。 此賦予財之授權乃鑑於立鼎證券有限公司同意繼續維持本人/吾等之證券現金帳戶。 此賦予爾等之授權並不損害立鼎證券有限公司可享有有關處理該等獨立帳戶內款項的其他授權或權利。
3. 將任何有關證券抵押品存放於獲香港中央結算有限公司或另一獲發牌或獲進行證券交易的中介人，作為解除和清償立鼎證券有限公司在交收上的義務和法律責任的抵押品；

本授權書的有效期限為 12 個月，自本授權書之簽署日期起計有效。 本人/吾等可以向爾等於上述所列明之地址之客戶服務部發出書面通知，撤回本授權書。該等通知生效日期為爾等 真正收到該等通知後之 14 日起計。
本人/吾等明白爾等若在本授權書的有效期限屆滿前 14 日之前，向本人/吾等發出書面通知，提醒本人/吾等本授權 書即將屆滿，而本人/吾等沒有在此授權屆滿前反對此授權書續期，本授權書應當作在不需要本人/吾等的書面同意下按時持續的基準已被續期。 倘若本授權書的中文本與英文本在解釋或意義方面有任何歧義，本人/吾等同意應以英文本為準。 本人/吾等就本授權書的內容已獲得解釋，並且本人/吾等明白本授權書的內容。

This letter of authority covers money held or received by you in Hong Kong (including the any interest derived from the holding of the money which does not belong to you) in one or more segregated account(s) on my / our behalf ("Monies") Unless otherwise defined, all the terms used in this authorisation letter shall have the same meanings as the Securities and Futures Ordinance and the Securities and Futures (Client Money) Rules as amended from time to time. This letter authorises you to:

1. Combine or consolidate any or all segregated accounts, of any nature whatsoever and either individually or jointly with others, maintained by you or Leading Securities Company Limited and / or any of its subsidiaries from time to time ("Leading Securities Company Limited") and you may transfer any sum of Monies to and between such Segregated account(s) to satisfy my / our obligations or liabilities to Leading Securities Company Limited, whether such obligations and liabilities are actual, contingent, primary or collateral, secured or unsecured, or joint or several, and
2. Transfer any sum of Monies interchangeably between any of the segregated accounts maintained at any time by Leading Securities Company Limited. You may do any if these things without giving me / us notice. This authority is given to Leading Securities Company Limited in consideration of its agreeing to continue to maintain securities cash account(s) for me / us. This authority is given without prejudice to other authorities or rights which Leading Securities Company Limited may have in relation to dealing in Monies in the segregated accounts.
3. Deposit any of the securities collateral with the Hong Kong Securities Clearing Company Limited or another intermediary licensed or registered for dealing in securities as collateral for the discharge and satisfaction of client's settlement obligations and liabilities; and

The authority is valid for a period of 12 months from the date of this letter. This authority may be revoked by giving you written notice addressed to the Customer Service Department at your address specified above. Such notice shall take effect upon the expiry of two weeks from the date of your actual receipt of such notice.

I / we understand that this authority shall be deemed to be renewed on a continuing basis without my / our written consent if you issue me / us a written reminder at least 14 days prior to the expiry date of this authority, and I / we do not object to such deemed renewal before such expiry date. In the event of any difference in interpretation or meaning between the Chinese and English version of this authority. I / we agree that the English version shall prevail. The letter has been explained to me / us and I / we understand the contents of this letter.

Signed by 客戶簽署

Authorized Signature(s) / Company Chop 獲授權人士簽署/公司蓋章:

Authorized Signature(s) Name 獲授權簽署姓名:

Title 職銜: _____

Date 日期: _____

Commission 佣金					
Product 產品	By Telephone 電話		By Internet Trading 網上或流動應用程式		Remarks
	佣金%	Min 最少	佣金%	Min 最少	
Hong Kong 港股	%		%		
US 美股	%		%		
「滬港通」上海 A 股	%		%		
「深港通」深圳 A 股	%		%		
中國 B 股	%		%		
Bonds 債券	%		%		
Funds 基金	%		%		
Structured Financial Products 結構性金融產品	%		%		
交易限額					
信貸限額					
客戶介紹人:	經紀名稱(編號):		與經紀認識年:		
開戶批核	資料輸入	發出開戶通知		發出網上密碼	
姓名:					
日期:					
備註:					