

INSTITUTIONAL CASH ACCOUNT OPENING FORM

机构现金户口开户申请书

客户需知 — 请细阅及在适当位置签署

客户类别	客户签名页数
Institutional 机构开户	p.4, p.6(如适用), p.7, p.8



INSTITUTIONAL CASH ACCOUNT OPENING FORM

机构现金户口开户申请书

Account No.:
户口号码

Account Applicant's Personal Information 户口申请人之个人资料

Name in English 英文	Name in Chinese 中文
Certificate No. of Incorporation 公司注册号码	Place of Incorporation 公司注册地
Nature of Business 业务性质	Business Registration No. in Hong Kong 香港商业登记证号码
Tel No. 电话号码	Date of Incorporation 注册日期 (dd/mm/yyyy 日/月/年)
Fax No. 传真号码	
E-mail Address 电邮地址	
Registered Address 注册地址	
Principal Business Address 主要营运通讯地址	
Mailing Address 通信方法 : <input type="checkbox"/> Correspondence Address 通讯地址 <input type="checkbox"/> E-mail 电邮	
Purpose of account opening 开户目的	
Source of Fund 资金来源 <input type="checkbox"/> Business/Investment 营业收入/投资 <input type="checkbox"/> Other (provide details) 其他 _____ _____	

Licensed / Registered Person Declaration 持牌 / 注册人士申报

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?
 贵公司是否有任何董事、股东、获授权人士与**立鼎证券有限公司** (以下简称“立鼎”) 或其联系公司的任何雇员或持牌代表有关连?

No 否 Yes 是 Name 姓名: _____ Relationship 关系: _____
 Name 姓名: _____ Relationship 关系: _____

Is applicant a member or participant registered with any stock or commodities exchange or regulated or supervised by any government or regulatory agency?
 贵公司是否为任何股票或期货交易场所的注册会员或参与者, 或受任何政府或监管机构所规管或监管?

No 否 Yes 是 Licence No. 牌照号码: _____

Is any of applicant's director, shareholder or authorized person is licensed/registered person of SFC?
 贵公司是否有任何董事、股东、获授权人士是证监会持牌/注册人士?

No 否 Yes 是 Name 姓名: _____ Relationship 关系: _____
 Name 姓名: _____ Relationship 关系: _____

Nature of Entity 组织类别

a <input type="checkbox"/>	<p>Recognized exchange company / clearing house / automated trading services provider</p> <p>交易所/结算所/自动化交易服务提供商</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>香港注册的职业退休计划 / 离岸计划 / 其经《职业退休计划条例》所订明的管理人</p>
b <input type="checkbox"/>	<p>HK licensed corporation / registered institution or regulated investment services provider outside Hong Kong</p> <p>香港持牌中介人/受香港以外地方规管投资服务提供商</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>香港注册的退休计划 / 成分基金 / 经核准的受托人 / 《强制性公积金计划条例》规管的服务提供商 / 属香港注册的退休计划或成份基金的投资经理</p>
c <input type="checkbox"/>	<p>HK regulated bank / deposit taking company or regulated bank outside Hong Kong</p> <p>香港认可的财务机构/受香港以外地方规管的银行</p>		
d <input type="checkbox"/>	<p>HK regulated insurance company or regulated insurance company outside Hong Kong</p> <p>香港认可 / 受香港以外地方规管的保险公司</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) 的全资附属公司</p> <p>2. Holding Company which wholly owns all issued share capital of (b) or (c) above</p> <p>拥有上述(b)及(c)的附属公司的全资控股公司</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资附属公司</p>
e <input type="checkbox"/>	<p>HK SFC-authorized fund or regulated collective investment scheme outside Hong Kong</p> <p>香港认可基金/受香港以外地方规管的集体投资计划</p>		
f <input type="checkbox"/>	<p>Government (other than municipal government) / central bank / multilateral agency</p> <p>政府(市政府除外) / 中央银行 / 多边机构</p>		



Declaration On The Relationship 联系申报

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?

贵公司否持控另一公司百分之三十五或以上之表决权益，或者，贵公司是否属另一公司的集团公司成员，而该公司现正持有立鼎证券有限公司任何相关账户？

No 否

Yes 是

Account No 帐户号码: _____

Relationship 关系: _____

Acknowledgements and Confirmations 确认及保证

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.

一般性确认及保证

- 就有关立鼎证券有限公司(“立鼎”)向本人/吾等提供的相关服务而言，本人/吾等向立鼎提供以上有关本人/吾等的资料。本人/吾等表示、保证、声明并确认所有上述数据和任何其他与本表格相关的数据，以及任何其他本人/吾等不时签署或订立的文件均属真实准确的，立鼎可以就有关我们之间的相互关系对该等数据加以倚赖。本人/吾等在此承诺，若有任何与本表格及本人/吾等不时签署或订立的任何其他文件所提供的数据发生变更时，本人/吾等会于三十日内以书面通知方式知会立鼎。
- 本人/吾等承认并确认，立鼎已建议本人/吾等就立鼎提供给本人/吾等之任何服务，以及本人/吾等就任何该等服务签署或订立本表格及本人/吾等不时签署或订立的其他文件之法律含义，咨询独立专业意见。
- 在不损害立鼎与本人/吾等签署之有关服务协议及/或其他协议的条款和条件的原则下，在签署本表格后，即表示本人/吾等明确地同意根据适用的本地或外国法律、规例及规则包括美国海外户口税收合规法案(FATCA)之规定，立鼎(包含在香港境内外的立鼎和/或立鼎的控股公司、立鼎或立鼎控股公司的任何附属公司或关联机构以及立鼎或立鼎控股公司的分行、办事处或单位)可：
 - 向本地或海外监管机构或税务机构(如美国国家税务局)披露、呈交或提供本人/吾等之资料(和/或有关户口的实益拥有人的资料，如适用)以确立于任何司法管辖区的相关税务责任；及
 - 按本地或海外监管机构或税务机构之要求，从本人/吾等的有关户口(如有)或任何立鼎作出的付款中预扣及扣减所需款项。
- 本人/吾等明白并确认，本表格及/任何其他文件的英文文本为管辖文本，英文文本与中文翻译文本有出现歧义时，以英文文本为准。

Signed by 客户签署

Authorized Signature(s) / Company Chop 获授权人士签署/公司盖章:

Authorized Signature(s) Name 获授权签署姓名:

Title 职衔: _____

Date 日期: _____

**Authorized Instructions 授权指示**

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.

申请者根据公司决议(见附件)授权以下人士及“交易人员”全权就所开立之交易户口的交易，以书面及/或口头方式发出买、卖或其他相关交易指示。

Name 姓名	Relation/Position 关系/职位	ID/Passport No. 身份证/护照号码	Contact No. and Email 联络电话及电邮地址	Signature 签署

Signing Arrangement 签署安排

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:

申请者根据公司决议(见附件)授权户口将按以下所列的签名安排，由下列的任何 _____ 人士(“文件签署人员”) 发出运作指示：

Name 姓名	Relation/Position 关系/职位	ID/Passport No. 身份证/护照号码	Contact No. and Email 联络电话及电邮地址	Signature 签署

Applicant's Banker Reference 申请者银行

(Funds will be transferred to the following account pursuant to your fund withdrawal instruction. 款项将根据客户的提款指示转入以下户口)

<input type="checkbox"/> Banker 银行		<input type="checkbox"/> Other 其他	
Banker's Name 银行名称：			
Account Name 账户名称：		Account No. 帐户号码：	
		HKD: _____	
		USD: _____	
		CNY: _____	
		Multi-currency: _____	

BOARD RESOLUTION 公司决议

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.

公司兹确认，下列决议案经 _____ (下称「公司」) 董事会于 _____ 年 _____ 月 _____ 日，在 _____ 正式召开之董事局会议通过，该会议自始至终按照公司章程规定维持足够法定人数，保持并加载公司之会议记录册内，而该决议案未有被修订，并且正全面执行及生效。

IT WAS RESOLVED 决议通过:

1. THAT a securities cash (* **Client / House**) account ("the Account (s)") be opened with Leading Securities Company Limited ("the Broker")
于立鼎证券有限公司 (下称「经纪」) 开立股票(* **客户 / 自营**) (请删去不适用者)现金交易帐户 (下称「账户」)。
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.
客户协议书 (下称「协议书」) 已于会议中传阅协议书中的条款与开立账户有关的详情已获批准，其全部及不时之修改亦已采纳。
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 / 或每一下列人仕 (每一授权人) 有权作任何及全部下述行为:
 - i. To sign any document in connection with the opening of the Account(s) and to deliver the signed original to The Broker;
签署任何与开立该账户有关的文件并把正本送达经纪;
 - ii. To give written instructions to The Broker with respect to securities trading transactions;
向经纪发出有关证券交易的书面指令;
 - 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;
致使公司予以约束及承诺履行其代表公司与或透过经纪所订立的任何合约、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;
交付任何金额及任何相互同意之货币或证券至经纪及授权转账或交付任何金额及任何货币 或证券予任何其他人士;
 - v. To settle, compromise, adjust and give releases in connection with any such Account with respect to any and all claims, disputes and controversies;
就有关此账户的任何及所有索偿，纠纷及冲突，进行解决、和解、调整或给予对方豁免;
 - vi. To do and take any and all action necessary in connection with the Account.
进行及采取任何及 / 或全部与账户有关的所需行动。
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.
此决议将维持有效，而经纪有权依赖此决议直至修订决议通过及被经纪接获。

Name 姓名	Relation/Position 关系/职位	ID/Passport No. 身份证/护照号码	Contact No.and Email 联络电话及电邮地址	Signature 签署

Signature of Director(s) 董事签署

Name 姓名

Date 日期

* Please delete as appropriate 请删去不适用者



Declaration 声明

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.

户口申请人兹声明在本开户申请表内的数据属实、完整及正确，立鼎证券有限公司(「本公司」)的<<客户协议>> (如适用，包括财务纪录及投资经验)(以下简称「协议」)内的一切申述准确。本开户申请表内的数据及「协议」内的申述，以下统称为「开户资料」。除非本公司接到更改有关「开户资料」内容的书面通知，本公司有权在任何用途上完全依赖这些「开户资料」。本公司有权随时联络任何人，包括但不限于户口申请人之银行、经纪或任何信贷调查机构，以求证实「开户资料」内所载之内容。

所有由本公司与或透过本公司进行之交易均受「协议」之条文限制。请于签署本开户申请表前，细阅「协议」各项条文。于下方签署乃确认阁下已细阅、明白及同意「协议」之一切内容(尤其「风险披露声明」一节)，并接受该等现时有效及不时修改的条文约束。

Applicant(s) Signature 申请人签署

Authorized Signature(s) / Company Chop
获授权人士签署 / 公司盖章

Authorized Signature(s) Name 获授权签署姓名:

Date 日期:

Certification of Client Signature and Identity Proof (if applicable) 见证客户签署及身份证明文件验证 (如适用)

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.

若客户并非在**立鼎证券有限公司**之指定雇员面前订立本开户表格及本开户表格并非连同恰当的支票 + 一并递交，则以下部分应由指定人士，包括其他证监会持牌人或注册人、太平绅士或专业人士例如执业会计师、执业律师或公证人，签署验证。

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)

下述签署人士谨此验证上述客户订立此文件(连同客户协议书) 及其有关的身份证明文件:

Date of Birth (dd/mm/yyyy)
出生日期 (日/月/年)

Signed and Certified by 签署及验证
Name姓名: _____
Profession /Title 所属专业及职衔:

Contact No 联络电话

联络地址
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.

+客户在香港的持牌银行开立的账户并由客户所签发(该签名须与此开户表上的客户签名相符)并载有客户在其身份证明文件上所显示的姓名的划线支票，而该支票抬头人须为"**立鼎证券有限公司**"及其数额不得少于10,000 港元。客户被批核的新账户必须待支票兑现后才可使用。



Standing Authority 常设授权

根据《证券及期货(客户款项)规则》所设立的常设授权

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

本授权书涵盖尔等为本人 / 吾等在香港收取或持有并存放于一个或多个独立账户内的款项 (包括因持有并非属于尔 等的款项而产生之任何利息 (下称「款项」))。 除非另有说明, 本授权书之名词与证券及期货条例及证券及期货 (客户款项) 规则不时修订之定义具有相同意思。 本授权书授权尔等:

1. 组合或合并尔等立鼎证券有限公司所维持的任何或全部独立帐户, 此等组合或合并活动可以个别与其他账户联合进行, 尔等可将该等独立账户内任何数额之款项作出转移, 以解除本人 / 吾等对立鼎证券有限公司的义务或法律 责任, 不论此等义务和法律责任是确实或突然的, 原有或附带的、有抵押的、共同或分别的: 及
2. 从立鼎证券有限公司任何成员于任何时候维持的任何独立账户之间来回调动任何数额之款项。 尔等可不向本人 / 吾等发出通知而采取上述行动。 此赋予尔等之授权乃鉴于立鼎证券有限公司同意继续维持本人 / 吾等之证券现金账户。 此赋予尔等之授权并不损害立鼎证券有限公司可享有关处理该等独立账户内款项的其他授权或权利。
3. 将任何有关证券抵押品存放于获香港中央结算有限公司或另一获发牌或获进行证券交易的中介人, 作为解除和清偿立鼎证券有限公司在交收上的义务和法律责任的抵押品;

本授权书的有效期为 12 个月, 自本授权书之签署日期起计有效。 本人 / 吾等可以向尔等于上述所列明之地址之客户服务部发出书面通知, 撤回本授权书。该等通知生效日期为尔等 真正收到该等通知后之 14 日起计。

本人 / 吾等明白尔等若在本授权书的有效期限届满前 14 日之前, 向本人 / 吾等发出书面通知, 提醒本人 / 吾等本授权 书即将届满, 而本人 / 吾等没有在此授权届满前反对此授权书续期, 本授权书应当作为不需要本人 / 吾等的书面同 意下按时持续的基准已被续期。 倘若本授权书的中文本与英文本在解释或意义方面有任何歧义, 本人 / 吾等同意应以英文本为准。 本人 / 吾等就本授权书的内容已获得解释, 并且本人 / 吾等明白本授权书的内容。

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 客户签署

Authorized Signature(s) / Company Chop 获授权人士签署/公司盖章:

Authorized Signature(s) Name 获授权签署姓名:

Title 职衔: _____

Date 日期: _____

Commission 佣金					
Product 产品	By Telephone 电话		By Internet Trading 网上或流动应用程序		Remarks
	佣金%	Min 最少	佣金%	Min 最少	
Hong Kong 港股	%		%		
US 美股	%		%		
「沪港通」上海 A 股	%		%		
「深港通」深圳 A 股	%		%		
中国 B 股	%		%		
Bonds 债券	%		%		
Funds 基金	%		%		
Structured Financial Products 结构性金融产品	%		%		
交易限额					
信贷限额					
客户介绍人:	经纪名称(编号):		与经纪认识年:		
开户批核	数据输入		发出开户通知		发出网上密码
姓名:					
日期:					
备注:					