



Solomon JFZ (Asia) Holdings Limited 華贏東方 (亞洲) 控股有限公司

ACCOUNT OPENING FORM (CORPORATE ACCOUNT)

開戶表格 (公司賬戶)

Account Opening Method 開戶方法 (For Internal Only 內部填寫)											
<input type="checkbox"/> IN PERSON 親臨開戶	<input type="checkbox"/> BY POST - CERTIFIED DOCUMENTS 郵遞 - 已認證文件										
Please complete this form in BLOCK LETTER 請以正楷填寫本表格											
A. Account Type 賬戶類別:											
For Internal Use Only 內部填寫											
Account Number 賬戶號碼: <table border="1"><tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr></table>											
<input type="checkbox"/> 01 Securities Cash Account 證券現金買賣賬戶											
<input type="checkbox"/> 02 Securities Margin Account 證券賬戶保證金買賣賬戶											
<input type="checkbox"/> 07 Virtual Assets Cash Account 虛擬資產現金買賣賬戶											
<input type="checkbox"/> 08 Securities SBL Margin Account 證券借貸沽空保證金買賣賬戶											
Does your company require internet trading services? 貴公司是否需要網上交易服務? <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否											
B. Corporate Account Information 公司賬戶資料											
Registered Corporate Name (English) 註冊公司名稱 (英文):	Registered Corporate Name (Chinese) 註冊公司名稱 (中文):										
Type of Incorporation 公司類型	<input type="checkbox"/> Limited Company 有限公司 <input type="checkbox"/> Partnership 合夥公司 <input type="checkbox"/> Sole Proprietorship 獨資經營 <input type="checkbox"/> Registered Trustee 註冊受託人 <input type="checkbox"/> Listed Company 上市公司 <input type="checkbox"/> Other 其他: _____										
Type of Certificates# 公司註冊證明文件	<input type="checkbox"/> Legal Entity Identifier 法律實體識別編碼(LEI)登記文件 <input type="checkbox"/> Certificate of incorporation 公司註冊證明書 <input type="checkbox"/> Business Registration Certificate 商業登記證明書 <input type="checkbox"/> Others 其他: _____										
Business Registration No.(for HK incorporated company) 商業登記證號碼(香港註冊的公司)	Company Registration No.公司註冊編號										
Legal Entity Identifier (LEI) (If any) 法律實體識別編碼 (LEI) (如有)	Nature of Business 業務性質										
Country of Incorporation 註冊國家	Date of Incorporation(dd/mm/yy) 公司成立日期(日/月/年)										
Business Phone No. 公司電話號碼	Business Fax No. 公司傳真號碼										
Email (for communication and delivery of e-statements) 電郵(用於通訊及發送電子結單)	Mobile Phone No. (applicable for trading via APP) 手提電話號碼 (適用於經 APP 交易)										
Registered Office Address 公司註冊地址											
Principal Business Address (if different from Registered Office Address) 主要業務地址(如與公司註冊地址不同)											
Correspondence address 通訊地址: <input type="checkbox"/> Registered Office Address 公司註冊地址 <input type="checkbox"/> Principal Business Address 主要業務地址 <input type="checkbox"/> Others (please specify)其他(請註明):											



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C. Authorized Person Personal Information 公司授權人士個人資料			
1	Name 姓名	ID / Passport No. 身份證或護照號碼	Date of Birth (dd/mm/yy) 出生日期 (日/月/年)
	Email 電郵	Tel No. 電話號碼	Nationality 國籍
2	Name 姓名	ID / Passport No. 身份證或護照號碼	Date of Birth (dd/mm/yy) 出生日期 (日/月/年)
	Email 電郵	Tel No. 電話號碼	Nationality 國籍
3	Name 姓名	ID / Passport No. 身份證或護照號碼	Date of Birth (dd/mm/yy) 出生日期 (日/月/年)
	Email 電郵	Tel No. 電話號碼	Nationality 國籍
4	Name 姓名	ID / Passport No. 身份證或護照號碼	Date of Birth (dd/mm/yy) 出生日期 (日/月/年)
	ID / Passport No. 身份證或護照號碼	Tel No. 電話號碼	Email 電郵

D. Corporate Account Financial and Other Details 公司賬戶財務及其他資料

D1. Financial Profile 財務狀況

Authorized Capital 法定股本      Paid Up Capital 繳足股本

1. Annual Net Profit 全年淨利潤:

- < HK\$500,000       HK\$500,000 - HK\$1,000,000       HK\$1,000,001 - HK\$5,000,000  
 HK\$5,000,001 - HK\$10,000,000       > HK\$10,000,000, please specify 請註明: \_\_\_\_\_

2. Net Asset Value 資產淨值:

- < HK\$1,000,000       HK\$1,000,000 - HK\$3,000,000       HK\$3,000,001 - HK\$8,000,000  
 HK\$8,000,001 - HK\$40,000,000       > HK\$40,000,000, please specify 請註明: \_\_\_\_\_

3. Liquid Asset Value 流動資產:

- < HK\$1,000,000       HK\$1,000,000 - HK\$3,000,000       HK\$3,000,001 - HK\$8,000,000  
 HK\$8,000,001 - HK\$40,000,000       > HK\$40,000,000, please specify 請註明: \_\_\_\_\_

4. Source of Funds 資金來源:

- Operating Income 營業收入       Investment Income 投資收入       Retained Earnings 留存收益  
 Fund from shareholder(s)/Capital Contributions from partners 股東資金/合夥人注資       Others 其他: \_\_\_\_\_



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D2. Investment Experience and Objective 投資經驗及目標		
Product 產品	Years of Experience 投資年資	Average Portfolio Value (HK\$) 平均貨值(以港幣計)
Securities 證券	<input type="checkbox"/> <1 year 少於一年 <input type="checkbox"/> 6-10 years 六至十年 <input type="checkbox"/> 1-5 years 一至五年 <input type="checkbox"/> >10 years 多於十年	
Futures and Options 期貨及期權	<input type="checkbox"/> <1 year 少於一年 <input type="checkbox"/> 6-10 years 六至十年 <input type="checkbox"/> 1-5 years 一至五年 <input type="checkbox"/> >10 years 多於十年	
Warrants & Bull/Bear Contract 衍生權證(窩輪)/牛熊證	<input type="checkbox"/> <1 year 少於一年 <input type="checkbox"/> 6-10 years 六至十年 <input type="checkbox"/> 1-5 years 一至五年 <input type="checkbox"/> >10 years 多於十年	
Virtual Assets 虛擬資產	<input type="checkbox"/> <1 year 少於一年 <input type="checkbox"/> 6-10 years 六至十年 <input type="checkbox"/> 1-5 years 一至五年 <input type="checkbox"/> >10 years 多於十年	
Funds 基金	<input type="checkbox"/> <1 year 少於一年 <input type="checkbox"/> 6-10 years 六至十年 <input type="checkbox"/> 1-5 years 一至五年 <input type="checkbox"/> >10 years 多於十年	
Bonds 債券	<input type="checkbox"/> <1 year 少於一年 <input type="checkbox"/> 6-10 years 六至十年 <input type="checkbox"/> 1-5 years 一至五年 <input type="checkbox"/> >10 years 多於十年	
Others 其他	<input type="checkbox"/> <1 year 少於一年 <input type="checkbox"/> 6-10 years 六至十年 <input type="checkbox"/> 1-5 years 一至五年 <input type="checkbox"/> >10 years 多於十年	
Your investment objective? 客戶的投資目標是:		
<input type="checkbox"/> Capital Gain 資本增值 <input type="checkbox"/> Interest/Dividend Income 利息/股息收入 <input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Speculation 投機 <input type="checkbox"/> Others 其他: _____		
D3. Knowledge of Derivative Products 客戶對衍生產品的認識:		
<ul style="list-style-type: none"><li>● The Client underwent training or attended courses on 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</li><li>● The Client has current or previous 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</li><li>● 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. 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。</li></ul> <p><input type="checkbox"/> Our Company (the Client) has the above experience and/or knowledge on derivative product(s). 本公司(客戶)有上述一個或以上的經驗。</p> <p><input type="checkbox"/> Our Company (the Client) does not have the above experience and/or knowledge on derivative product(s), but our Company (the Client) confirms that our Company (the Client) 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. 本公司(客戶)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, 本公司(客戶)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。</p> <p>Solomon has accessed the Client based on the information provided above, and has notified the Client that it is compulsory to understand the derivative products before trading them. Solomon has also warned the Client about the nature and risk of the derivative products. 華贏證券已根據以上的資料對客戶進行評估, 並已通知客戶買賣有關衍生產品前必須先具備足夠的認識, 及提示客戶有關衍生產品之性質及風險。</p>		
D4. Your risk tolerance level 客戶的風險承受能力是:		
<input type="checkbox"/> High 高風險 <input type="checkbox"/> Medium 中等風險 <input type="checkbox"/> Low 低風險		



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E. Shareholder(s) and Director(s) Details 股東及董事資料				
E1. Shareholder(s) Details 股東資料				
1	Name/Company 姓名/公司名稱	ID/Passport No or Registration No. 身份證或護照號碼或登記號碼	Nationality 國籍/	Date of Birth (dd/mm/yy) 出生日期 (日/月/年)
	Address 地址	Email 電郵	Tel No. 電話號碼	% of ownership 擁有權百分比(%)
2	Name/Company 姓名/公司名稱	ID/Passport No or Registration No. 身份證或護照號碼或登記號碼	Nationality 國籍	Date of Birth (dd/mm/yy) 出生日期 (日/月/年)
	Address 地址	Email 電郵	Tel No. 電話號碼	% of ownership 擁有權百分比(%)
3	Name/Company 姓名/公司名稱	ID/Passport No or Registration No. 身份證或護照號碼或登記號碼	Nationality 國籍	Date of Birth (dd/mm/yy) 出生日期 (日/月/年)
	Address 地址	Email 電郵	Tel No. 電話號碼	% of ownership 擁有權百分比(%)
4	Name/Company 姓名/公司名稱	ID/Passport No or Registration No. 身份證或護照號碼或登記號碼	Nationality 國籍	Date of Birth (dd/mm/yy) 出生日期 (日/月/年)
	Address 地址	Email 電郵	Tel No. 電話號碼	% of ownership 擁有權百分比(%)
E2. Director(s) Details 董事資料				
1	Name 姓名	ID Card/Passport No. 身份證或護照號碼		Date of Birth (dd/mm/yy) 出生日期 (日/月/年)
	Residential Address 住宅地址	Email 電郵	Tel No. 電話號碼	Nationality 國籍
2	Name 姓名	ID Card/Passport No. 身份證或護照號碼		Date of Birth (dd/mm/yy) 出生日期 (日/月/年)



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	Residential Address住宅地址	Email 電郵	Tel No.電話號碼	Nationality 國籍
3	Name 姓名	ID Card/Passport No.身份證或護照號碼		Date of Birth (dd/mm/yy) 出生日期 (日/月/年)
	Residential Address住宅地址	Email 電郵	Tel No.電話號碼	Nationality 國籍
4	Name 姓名	ID Card/Passport No.身份證或護照號碼		Date of Birth (dd/mm/yy) 出生日期 (日/月/年)
	Residential Address住宅地址	Email 電郵	Tel No.電話號碼	Nationality 國籍

**F. Settlement Account Information 結算賬戶資料**

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

除經客戶另行指示外，須付予客戶的款項將會被轉入下列銀行帳戶

Bank Account Holder's Name (name(s) shown on bank statements and Client's name(s) on this Form should match)

銀行帳戶持有人名稱 (銀行結單上的名稱須與客戶在此表格上的名稱相符)

Currency 貨幣	Name of Bank 銀行名稱	Account No 賬戶號碼	Name of Account Holder 賬戶持有人名稱
HKD 港元			
USD 美元			
CNY 人民幣			

**H. Declaration 聲明**

**H 1. Identity Declaration 身份聲明**

H 1.1. Is any Director/Authorized Signer/Authorized Trader/Beneficial Owner of the Client a member or participant registered with any stock or commodities exchange or regulated or supervised by any government or regulatory agency?

客戶之任何董事/授權簽署人/授權交易人員/最終實益擁有人是否任何股票或期貨交易所之交易所參與者或由任何政府或監管機構監督?

- No 否  
 Yes 是, please provide below details and provide employer's consent letter 請提供以下詳情及僱主之書面同意書

Name of Director/Authorized Signer/ Authorized Trader/Beneficial Owner 董 事/授權簽署人/授權交易人員/最終實益擁 有人名稱	Name of Exchange/Government/ Regulatory Agency 交易所/政府/監管機 構名稱	Licensed or Registered No. 持牌或註冊號碼



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H 1.2. Does any Director/Authorized Signer/Authorized Trader/Beneficial Owner of the Client have any relationship with the director(s) or employee(s) of Solomon Securities?

有沒有任何董事/授權簽署人/授權交易人員/最終實益擁有人與華贏證券之董事或僱員有任何關係?

No 否

Yes 是, please provide below details 請提供以下詳情:

Name of Director/Authorized Signer/Authorized Trader/Beneficial Owner 董事/授權簽署人/授權交易人員/最終實益擁有人名稱	Relationship 關係

H 1.3. Does any Director/Authorized Signer/Authorized Trader/Beneficial Owner ever declared bankrupt or served with a bankruptcy petition? 有沒有任何董事/授權簽署人/授權交易人員/最終實益擁有人曾經宣告破產或被申請破產?

No 否

Yes 有, please provide below details and the Certificate of Discharge 請提供以下詳情及破產解除證明書:

Name of Director/Authorized Signer/Authorized Trader/Beneficial Owner 董事/授權簽署人/授權交易人員/最終實益擁有人名稱	Date of Bankruptcy 破產日期

H 1.4. Is any Director/Authorized Signer/Authorized Trader/Beneficial Owner a "Politically Exposed Person (PEP)" or related to PEP as defined by the Hong Kong Law?

有沒有任何董事/授權簽署人/授權交易人員/最終實益擁有人是香港法律定義下的“政治公眾人物 ( PEP ) ” 或與政治公眾人物有密切聯繫?

No 否

Yes 是, please provide below details 請提供以下詳情:

Name of Director/Authorized Signer/Authorized Trader/Beneficial Owner 董事/授權簽署人/授權交易人員/最終實益擁有人名稱	Position and relationship 職位及關係

**H2. Declaration in related to U.S. Foreign Account Tax Compliance Act (FATCA) 有關美國 <海外賬戶稅收合規法案> 聲明**

Our Company (the Client) hereby declares that we are not a United States resident for Foreign Account Tax Compliance Act (FATCA) purposes, and the income to which the said Account(s) related is not subjected to tax under FATCA. The Client undertakes to notify Solomon and relevant authorities for any change of circumstances stated in the IRS W Form submitted, without which the Client agrees that the W Form submitted will be deemed renewed. The Client shall fully indemnify and hold harmless Solomon from and against all claims, damages, losses, costs and expenses whatsoever incurred as a result of such non-compliance or omission.

本公司(客戶)謹此聲明其並非《海外賬戶稅收合規法案》下所定義的美國人士，而且此賬戶下之相關的收入依《海外賬戶稅收合規法案》毋須扣繳稅款。客戶承諾如於本公司(客戶)所提交之 W 表格中的情況有任何更改，客戶須通知華贏證券及相關部門，否則客戶同意該 W 表格會被當作續期。客戶亦同意悉數對華贏證券因客戶違規或遺漏而蒙受的任何索償、損害、損失、費用及開支作出彌償並保證其利益不受損害。



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H3. Ultimate Beneficial Owner and Transaction Instructions Issuer 賬戶最終實益擁有人及戶口交易指示發出者				
H3.1. Is the account holder the ultimate beneficial owner of this account? 賬戶持有人是否此戶口的最終權益擁有人? <input type="checkbox"/> Yes 是 <input type="checkbox"/> No, the ultimate beneficial owner's information is as follows: 不是·戶口最終權益擁有人的資料如下:				
1	Name 姓名	ID/Passport No 身份證或護照號碼	Nationality 國籍	Date of Birth (dd/mm/yy) 出生日期 (日/月/年)
	Residential Address 住址		Email 電郵	Tel No. 電話號碼
H3.2. Is the account holder the ultimate issuer of transaction instructions for this account? 賬戶持有人是否此戶口最終交易指示的發出者? <input type="checkbox"/> Yes, the Company is fully responsible for all instructions for the operation of the said Account(s). 是, 本公司為該(等)賬戶運作所發出的一切指示完全負責。 <input type="checkbox"/> No, the ultimate issuer of transaction instructions for this account is as follows: (Please sign a separate power of attorney) 不是·戶口最終交易指示發出者的資料如下: (請另外簽署授權書)				
2	Name 姓名	ID/Passport No 身份證或護照號碼	Nationality 國籍	Date of Birth (dd/mm/yy) 出生日期 (日/月/年)
	Residential Address 住址		Email 電郵	Tel No. 電話號碼
H4. Related Margin Financing Account(s) 相關保證金融資賬戶 (For Securities Account (Margin) only) (只適用於證券賬戶(保證金))				
H4.1. Does the Client control 35% or more of the voting rights of another margin client of Solomon? 客戶是否單獨或共同控制華贏證券之其他保證金賬戶 35%或以上之表決權? <input type="checkbox"/> No 否 Name of Account Holder. 賬戶持有人姓名: _____ <input type="checkbox"/> Yes (please specify) 是(請詳述): Account No. 賬戶號碼: _____				
H4.2. Does the Client have a margin account opened by a member of the same group of companies of the Client? 客戶是否有以客戶的同一集團公司旗下之公司開立保證金賬戶? <input type="checkbox"/> No 否 Name of Account Holder. 賬戶持有人姓名: _____ <input type="checkbox"/> Yes (please specify) 是(請詳述): Account No. 賬戶號碼: _____				
H4.3. Does the Client a guarantor of another account of Solomon (or vice versa)? 客戶是否另一個 華贏證券 賬戶之擔保人 (或反之亦然)? <input type="checkbox"/> No 否 Name of Account Holder. 賬戶持有人姓名: _____ <input type="checkbox"/> Yes (please specify) 是(請詳述): Account No. 賬戶號碼: _____				
H4.4. Does the Client's shareholders with 35% or more voting rights of a client of Solomon? 控制貴公司 35% 或以上之投票權的股東是否 華贏證券 的客戶? <input type="checkbox"/> No 否 Name of Account Holder. 賬戶持有人姓名: _____ <input type="checkbox"/> Yes (please specify) 是(請詳述): Account No. 賬戶號碼: _____				



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#### H5. Use of Personal Information Declaration 個人資料之使用聲明

Our Company (the Client) hereby informed that Solomon JFZ (Asia) Holdings Limited ( "Solomon" ) intends to use or transfer Our Company' s (the Client' s) personal data to its associated companies and/or its business partners in direct marketing of: (i) Financial services and investment products; (ii) Related promotional schemes; (iii) Financial and investment advices; or (iv) promotional and marketing events of Solomon for the aforesaid services or products. Such personal data includes our name, contact details, financial background and statistical data which are provided to Solomon under this Account Opening Form or obtained by Solomon from time to time. Our Company (the Client) understand that Our Company (the Client) may, at any time, require Solomon to cease to use or transfer Our Company (the Client) personal data for direct marketing through such channel prescribed by Solomon in accordance with the Solomon's PERSONAL INFORMATION COLLECTION STATEMENT AND PRIVACY POLICY STATEMENT.

本公司(客戶)現獲告知華贏東方 ( 亞洲 ) 控股有限公司(「華贏證券」)擬使用或轉移本人之個人資料至其聯營公司及/或其合作夥伴作直接促銷：(i)金融服務和投資產品；(ii)相關推廣計劃；(iii)金融和投資建議；或(iv)華贏證券就上述服務或產品之業務推廣和宣傳活動。該等個人資料包括本公司(客戶)在本開戶表格中向華贏證券提供的及華贏證券不時獲得的姓名、聯絡詳情、財務背景及統計資料等。本公司(客戶)明白本人可以根據華贏證券的個人資料收集聲明及私隱政策聲明隨時通過華贏證券指定的渠道要求華贏證券停止在直接促銷中使用或轉移本公司(客戶)的個人資料。

- Our Company (the Client) agree to the aforesaid use of my personal data by Solomon.  
本公司(客戶)同意華贏證券如上情況使用本人的個人資料。
- Our Company (the Client) object to the use of or transfer my personal data by Solomon in direct marketing.  
本公司(客戶)反對華贏證券使用或轉移本人的個人資料作直接促銷用途。

#### H6. Acknowledgement of Consent under Hong Kong Investor Identification Regime, OTC Securities Transactions Reporting Regime and Fast Interface for New Issuance ( "FINI" ) 香港投資者識別碼制度、場外證券交易匯報制度及 FINI 下之確認同意書

Client acknowledge and consent that Solomon JFZ (Asia) Holdings Limited ( "Solomon" ) may collect, store, process, use, disclose and transfer personal data relating to us (including our Customer Identification Data ( "CID" ) and Broker-to-Client Assigned Number ( "BCAN(s)" ) as required for Solomon to provide services to us in relation to securities listed or traded on The Stock Exchange of Hong Kong Limited ( "SEHK" ) and for complying with the rules and requirements of SEHK and the Securities and Futures Commission ( "SFC" ) in effect from time to time. Without limiting the foregoing, our consent given to Solomon includes:

客戶明白並同意·我們華贏東方(亞洲)控股有限公司(「華贏證券」)為了向客戶提供與在香港聯合交易所(聯交所)上市或買賣的證券相關的服務·以及為了遵守不時生效的聯交所與證券及期貨事務監察委員會(證監會)的規則和規定·我們可收集、儲存、處理、使用、披露及轉移與客戶有關的個人資料(包括客戶的客戶識別資訊及券商客戶編碼)。在不限制以上的內容的前提下·客戶提供予華贏證券的同意當中包括：

(a) disclosing and transferring my personal data (including CID and BCAN(s)), directly or indirectly through another broker or other intermediaries you may use in relation to the services you provide to me (if any), to Hong Kong Securities Clearing Company Limited (HKSCC), HKEX and/or the SFC in accordance with the rules and requirements of HKSCC, HKEX and the SFC in effect from time to time;

(a) 根據香港中央結算有限公司(「結算所」)、聯交所及證監會不時實施的條例及要求·貴司向客戶提供服務時·直接或間接地透過





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其他經紀人或其他中介人向結算所、聯交所及證監會披露及傳輸本人的個人資料 (包括客戶識別信息及券商客戶編碼) ;

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

(b) 允許聯交所: (i)收集、儲存、處理及使用閣下的個人資料 (包括客戶識別資訊及券商客戶編碼) , 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

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

(c) 允許證監會: (i)收集、儲存、處理及使用閣下的個人資料 (包括客戶識別資訊及券商客戶編碼) , 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。

(d) providing BCAN to Hong Kong Securities Clearing Company Limited (HKSCC) allowing HKSCC to: (i) retrieve from SEHK (which is allowed to disclose and transfer to HKSCC), process and store your CID and transfer your CID to the issuer' s share registrar to enable HKSCC and/ or the issuer' s share registrar to verify that you have not made any duplicate applications for the relevant share subscription and to facilitate IPO balloting and IPO settlement; and (ii) process and store your CID and transfer your CID to the issuer, the issuer' s share registrar, the SFC, SEHK and any other party involved in the IPO for the purposes of processing your application for the relevant share subscription or any other purpose set out in the IPO issuer' s prospectus.

(d) 允許向香港中央結算有限公司(香港結算)提供券商客戶編碼以允許香港結算: (i)從聯交所取得、處理及儲存允許披露及轉移給香港結算屬於閣下的客戶識別資訊, 及向發行人的股份過戶登記處轉移閣下的客戶識別資訊, 以便核實閣下未就相關股份認購進行重複申請, 以及便利首次公開招股抽籤及首次公開招股結算程式; 及(ii)處理及儲存閣下的客戶識別資訊, 及向發行人、發行人的股份過戶登記處、證監會、聯交所及其他公開招股的有關各方轉移本公司的客戶識別資訊, 以便處理閣下對有關股份認購的申請, 或為載於公開招股發行人的招股章程的任何其他目的。

Client also acknowledge and agree that despite any subsequent purported withdrawal of consent by us, client personal data may continue to be stored, processed, used, disclosed or transferred for the above purposes after such purported withdrawal of consent.

客戶同時承認並同意, 儘管客戶隨後撤回同意, 但在客戶聲稱撤回同意後, 客戶的個人資料可能會繼續儲存、處理、使用、披露或轉移用於上述目的。

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

如客戶未能如上所述向貴司提供本人的個人資料或同意可能意味著貴司將不會或將不再能夠(視情況而定)執行客戶的交易指示或向客戶提供證券相關服務(除了出售、轉讓或撤回本人現有的證券持有量(如果有))。



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Client understand and confirm that where you on our instructions provide services for the subscription or purchase of securities in a public offer in respect of a new listing on the HKEX, you may submit EIPO (as defined under Rules of Central Clearing and Settlement System established & operated by HKSCC) subscription on our behalf.

客戶理解並確認，如果貴司按照客戶的指示在聯交所新上市的公開發售中認購或購買證券，貴司可以以電子方式代表客戶認購（定義見由結算所設立及運行的中央結算及交收系統規則）。

Note: The terms "BCAN" and "CID" used in this clause shall bear the meanings as defined in paragraph 5.6 of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission."

備註：本條文所述的“券商客戶編碼”及“客戶識別資訊”具有《證券及期貨事務監察委員會持牌人或註冊人操守準則》第5.6段所界定的含義。

**Points to note 注意要點：**

(1) Customers are only eligible to trade upon the assignment of BCAN number

客戶在被編配券商客戶編碼後，買賣盤才會獲執行。

(2) All customers in a joint relationship will have to provide their consent in order for buy orders to proceed.

如屬聯名賬戶，所有相關客戶均須提供同意，買賣盤才會獲執行。

(3) If you do not provide the consent, under the HKIDR, your BCAN or CID will not be submitted to SEHK and it should only effect sell orders or trades in respect of existing holdings of a listed security (but not buy orders or trades). Similarly, under OTCR, without your consent provided, your CID will not be submitted to the SFC and it should only effect transfers of shares out of and withdrawals of physical share certificates from your account, but not transfers of shares or deposits of physical share certificates into your account.

在香港投資者識別碼制度下，如未能提供客戶同意，閣下的券商客戶編碼或客戶識別信息不會提交於聯交所，客戶現時持有的上市證券只可執行賣出指令或交易（而非買入指令或交易）。同樣地，在場外證券交易匯報制度下，如未能提供客戶同意，閣下的客戶識別信息不會提交於證監會，客戶只可從其帳戶轉出股份及提取實體股票證書，而不可將股份轉入或將實體股票證書存入該其帳戶。

(4) By submitting the consent, you acknowledge that your submitted CID is accurate (e.g.CID is in accordance with the waterfall).

If your ID type is not eligible or expired, or your CID is not in compliance with the waterfall requirements under the HKIDR, please update at your earliest convenience; otherwise you can only be allowed to conduct the sell orders.

本同意書一經遞交，閣下確認所提交的客戶識別信息是準確（例如客戶識別信息是符合排序表的）。如閣下的身份證明文件屬不適當類別或過期；或其客戶信息不符合香港投資者識別碼制度下的排序表規定，請盡早更新客戶識別信息，否則閣下只能作出賣盤指示。

(5) Data of a Data Subject may be processed, kept, transferred or disclosed in and to any country as the Solomon JFZ (Asia) Holdings Limited ( "Solomon Securities" ) or any person who has obtained such data from Solomon Securities considers appropriate. Such data may also be processed, kept, transferred or disclosed in accordance with the local practices and laws, rules and regulations (including any governmental acts and orders) in such country.

當華贏東方(亞洲)控股有限公司（“華贏證券”）或從華贏證券取得該資料的任何人士認為合適，資料當事人的資料可在任何國家處理或保存或轉移或披露予任何國家。該資料亦可根據該國家當地慣例及法律、規則和規例(包括任何政府法案或命令)予以處理、保存、轉移或披露。

**Acknowledgement and Consent 確認及同意**



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Client acknowledge our company have read and understand the contents of this Consent Form and the Policy Statement relating to the Personal Data (Privacy) Ordinance of Solomon JFZ (Asia) Holdings Limited ( "Solomon Securities" ) or any person who has obtained such data from Solomon Securities considers appropriate. Client hereby give our consent to Solomon Securities use of our personal data for the purposes set out in this Consent Form and the Policy Statement relating to the Personal Data (Privacy) Ordinance.

本公司(客戶)確認已閱讀並明白本同意表格及華贏東方(亞洲)控股有限公司 ("華贏證券") 或從華贏證券取得該資料的任何人士有關《個人資料(私隱)條例》的政策聲明的內容。本公司(客戶)同意華贏證券可根據本同意表格和有關《個人資料(私隱)條例》的政策聲明內列載的條款和目的使用客戶之個人資料。

**Our Company (the Client) agrees to the above Client Consent.** 本公司(客戶)同意上述『客戶同意書』。

If Solomon cannot obtain your consent herein, it may mean that Solomon cannot (as the case may be) execute your order or provide you with securities related services. Therefore, Solomon is not able to accept your securities account open application.

客戶如未能向華贏證券提供上述同意，可能意味著華贏證券不能（視情況而定）執行客戶的交易指示或向客戶提供證券相關服務。因此華贏證券未能接受客戶的證券賬戶開戶申請。

#### H7. Standing Authority 常設授權

##### Client Money 客戶款項 (applicable to all of account types 適用於所有帳戶類別)

Our Company (the Client) hereby authorize Solomon JFZ (Asia) Holdings Limited ( "Solomon" ), its/their affiliates which are licensed corporations\* and their respective associated entities\* (if any) for a period commencing from the date of Solomon' s approval to this authority up to and including the last day of the eleventh (11th) month next after the date of such approval to pay and transfer money from time to time received or held on our behalf for credit into any of our accounts with any of Solomon and such affiliates and associated entities for the following purposes without further notice to or consent from us: -

1. to meet or reduce our obligations to meet settlement or margin requirements in respect of dealing in securities, dealing in futures and/or options contracts or other regulated activities\* carried out by Solomon or such affiliates on our behalf (if any);
2. to pay money that our company (the client) owe to i) Solomon and/or such affiliates in respect of the carrying on by them of any regulated activity for which they are licensed; or ii) any associated entities of Solomon or any of such affiliates in respect of the receipt or holding of money for or on our behalf by such associated entities; and/or
3. to hold such money for us or on my/our behalf.

Our Company (the Client) agree to pay all handling fees and bank charges in connection with the above fund transfer(s). Without prejudice to any other rights available to Solomon and such affiliates and associated entities, Solomon and such affiliates and associated entities shall have the absolute discretion to refuse to act upon or reject this authority either generally or in any particular case without any liability to us or assigning any reason therefor.

This authority may be renewed or deemed to have been renewed in accordance with the Securities and Futures (Client Money) Rules but may be revoked by us by giving to Solomon and such affiliates at least 5 business days' prior written notice of revocation.

本公司(客戶)授權華贏東方 (亞洲) 控股有限公司("華贏證券")、其具有持牌法團\* 身分的聯屬人士及他們各別的有聯繫實體\* (如有) 可於華贏證券批准本授權當天開始直至及包括隨後第十一個月份的最後一天的期間內，將不時代本公司(客戶)收取或持有的款項支付及轉帳予任何本公司(客戶)於華贏證券及該等聯屬人士及有聯繫實體當中的任何一方所持有的戶口以用作以下用途，毋須進一步通知本公司(客



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戶)或取得本公司(客戶)的同意 :-

1. 用於履行或減低本人 / 吾等須就華贏證券或該等聯屬人代本人 / 吾等進行的證券交易及 / 或期權合約交易或其他受規管活動 \* ( 如有 ) 遵從關於交收或保證金的規定的義務 ;
2. 用以支付 i) 本公司(客戶)就華贏證券及 / 或該等聯屬人士進行其獲發牌進行的任何受規管活動而欠其的款項 ; 或 ii) 本公司(客戶)就華贏證券或任何該等聯屬人士的有聯繫實體為本公司(客戶)或代本公司(客戶)收取或持有款項而欠該有聯繫實體的款項 ; 及 / 或
3. 代本公司(客戶)或為本公司(客戶)持有該款項。

本公司(客戶)同意支付所有與上述付款及轉帳的安排有關的手續費及銀行費用。在不損害華贏證券吾等就華贏證券及該等聯屬人士及有聯繫實體的任何其他權利的條件下，華贏證券及該等聯屬人士及有聯繫實體有絕對的酌情權就一般或個別情況下拒絕根據本授權行事或拒絕接受本授權，而不需要向本公司(客戶)負上任何責任或作出任何解釋。

本授權可根據《證券及期貨 ( 客戶款項 ) 規則》的規定下予以續期或被當作已續期，惟本公司(客戶)可向華贏證券及該等聯屬人發出不少於 5 個工作天之事先書面通知以撤銷本授權。

\*as defined in the Securities and Futures Ordinance

\* 按《證券及期貨條例》之定義

#### Client Securities and Securities Collateral 客戶證券或證券抵押品 (For Securities Margin Account Only 僅適用於證券保證金買賣帳戶)

Our Company (the Client) hereby authorize Solomon JFZ (Asia) Holdings Limited ( "Solomon" ) and its associated entities (as defined in the Securities and Futures Ordinance) (if any) for a period commencing from the date of Solomon' s approval to this authority up to and including the last day of the eleventh (11th) month next after the date of such approval to deal with our securities and securities collateral from time to time received or held in Hong Kong by or on behalf of Solomon or any of its associated entities in one or more of the following ways without further notice to or consent from us:

1. to apply any of the securities or securities collateral pursuant to a securities borrowing and lending agreement;
2. to deposit any of the securities collateral with an authorized financial institution as collateral for financial accommodation provided to Solomon; and/or
3. to deposit any of the securities collateral with any clearing house recognized by the Hong Kong Securities and Futures Commission or another intermediary licensed or registered for dealing in securities as collateral for the discharge and satisfaction of Solomon' s settlement obligations and liabilities.

Our Company (the Client) hereby acknowledge that Solomon has the practice of pledging clients' securities collateral.

This authority may be renewed or deemed to have been renewed in accordance with the Securities and Futures (Client Securities) Rules but may be revoked by us by giving to Solomon at least 5 business days' prior written notice of revocation.

本公司(客戶)授權華贏東方 ( 亞洲 ) 控股有限公司(“ 華贏證券 ”)及其有聯繫實體 ( 按《證券及期貨條例》之定義 ) ( 如有 ) 可於華贏證券批准本授權當天開始直至及包括隨後第十一個月份的最後一天的期間內，以下列一種或多於一種方式處理不時由華贏證券或其任何有聯繫實體代本公司(客戶)在香港收取或持有的證券及證券抵押品，毋須進一步通知本公司(客戶)或取得本公司(客戶)的同意：



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1. 依據證券借貸協議運用任何有關證券或證券抵押品；
2. 將任何有關證券抵押品存放於認可財務機構，作為提供予華贏證券的財務通融的抵押品；及 / 或
3. 將任何有關證券抵押品存放於獲香港證券及期貨事務監察委員會認可的結算所或另一獲發牌或獲註冊進行證券交易的中介人，作為解除華贏證券在交收上的義務和清償華贏證券在交收上的法律責任的抵押品。

本公司(客戶)獲悉華贏證券有將證券抵押品再質押的做法。

本授權可根據《證券及期貨 ( 客戶證券 ) 規則》的規定下予以續期或被當作已續期，惟本公司(客戶)可向華贏證券發出不少於 5 個工作天之事先書面通知以撤銷本授權。

#### H8. Additional Agreement in respect of transaction relating to Virtual Assets (For Apply Virtual Assets Account only) 有關虛擬資產交易之附加協議 (適用於申請開立虛擬資產賬戶)

In consideration of Solomon JFZ (Asia) Holdings Limited ( "Solomon" ) entering into transactions relating to virtual assets ( "Transactions" ) in accordance with our instruction ( "Instruction" ), our company hereby agree that:-  
就華贏東方 ( 亞洲 ) 控股有限公司( " 華贏證券 " )根據本公司之指令( "指令" )所作虛擬資產交易( "交易" )，本公司謹此同意如下：-

1. Our Company (the Client) open a virtual asset ( "VA" ) trading account with Solomon in Our Company (the Client) name for the purpose of VA dealing under an omnibus account arrangement;  
以本公司(客戶)名稱在華贏證券開立虛擬資產交易帳戶並在綜合帳戶安排下虛擬資產交易；
2. All Transactions carried out by Solomon and its agents/brokers in any of its accounts will be subject to the laws, regulations, constitution, by-laws, rules, customs and transaction levies of relevant market, exchange, clearing house or jurisdiction as amended from time to time in accordance with the terms of Agreement and Our Company (the Client) will be notified in advance if the circumstances permit;  
所有由華贏證券及其代理經紀於其任何戶口所進行的該等交易將須受到有關市場、交易所、結算所或司法區所不時修訂的法律、規例、憲章、附例、規則、習慣、用法、裁定、詮釋及交易征費所約束及如情況許可下將預先通知本公司(客戶)；
3. Our Company (the Client) shall be bound by the terms and conditions of all specifications, offering, circulars, information memorandums and/or other documents ( "Documents" ) covering such Transactions and our company shall not pass the Documents to any other person;  
本公司(客戶)將受有關交易的規格、章程內之條款與條件及/或其他要約文件( "文件" )之約束，本公司不會傳遞此等文件予任何人；
4. Our Company (the Client) ensure that our company have obtained all required authorizations, approvals and consents from any government or other regulatory body or authority applicable to any Transactions and complied with the relevant terms and all applicable regulations of such body and authority;  
本公司(客戶)確保其取得適用於任何交易之任何政府或其他監管機構或當局之一切所需授權、批准及同意，並且遵從有關條款及該等機構及當局之一切適用規例；
5. When Our Company (the Client) conduct any relevant VA trading activities, if Solomon solicits the sale or recommends any VA product to Us, the product must be a product of Solomon in subsequent to considering Our financial situation, investment



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experience and investment objectives and consider that it is reasonably suitable for Us. None of the other provisions of the Agreement or any other document that Solomon may require Us to sign and any declaration that Solomon may require Us to make shall derogate from the validity of these terms;

本公司(客戶)在進行任何相關虛擬資產交易活動時，假如華贏證券向本人/吾等招攬銷售或建議任何虛擬資產產品，該產品必須是華贏證券經考慮本人/吾等的財政狀況、投資經驗及投資目標後而認為合理地適合本人/吾等的。本協議的其他條文或任何其他華贏證券可能要求本人/吾等簽署的文件及華贏證券可能要求本人/吾等作出的聲明概不會減損本條款的效力；

6. Our Company (the Client) shall pay to Solomon the commissions and transaction fees stipulated in the contract by the exchange that determines and informs Us from time to time, as well as additional charges of Solomon, including but not limited to any remuneration, interest, bank charges, agency and custody fees, and Solomon will receive all commissions and fees charged by Solomon to Us in connection with any Transactions in accordance with the Agreement;

本公司(客戶)須向華贏證券繳付不時釐定及知會本公司之交易所就合約訂明之佣金及交易費用，以及華贏證券附加收費，包括但不限於任何報酬、利息、銀行費用、代理人及托管費用，以及華贏證券將收取依照本協議與任何交易有關之所有由華贏證券向本公司收取之佣金及費用單張；

7. Our Company (the Client) shall purchase the VA as principal and not a nominee for any person;

本公司(客戶)以主事人身份購入虛擬資產，並不是任何人士之代理人；

8. Our Company (the Client) have performed My/Our own due diligence and investigation and Our Company have made Our own independent decision to enter into the relevant Transactions;

本公司(客戶)已進行細心分析及調查，並作出獨立決定進行有關交易；

9. Solomon shall not be responsible for checking, verifying or confirming the legality, suitability and appropriateness of any Instruction and/or Transactions;

華贏證券並不負責檢查、核證或確定有關指令及/或交易之合法性、恰當性及適合性；

10. Solomon may at its sole discretion refuse to enter into any Transactions or enter into any contract on behalf of the client without giving any reason;

華贏證券可全權決定拒絕代客戶達成任何交易或訂立任何合約，而無須給予任何理由；

11. Our Company (the Client) have based myself/ourselves upon our own judgment and upon advice from such independent professional advisers as our Company deem necessary in considering the legality, suitability and appropriateness of the Transactions;

本公司(客戶)已根據本公司自行之判斷及獨立專業意見對有關交易之合法性、恰當性及適合性作出評估；

12. Our Company (the Client) have not relied on any representation or advice by Solomon and neither Solomon nor its employees, agents or representatives shall have any liability in respect of the same if expressed at all;

本公司(客戶)並無倚賴任何華贏證券之言論或建議，華贏證券及其僱員、代理人或代表毋須就其發表之言論或建議負責；

13. The amount Our Company (the Client) paid for the VA may not be recoverable in the event an issuer/ custodian/ exchange is insolvent or in bankruptcy;

在虛擬資產發行人/托管人/交易所無力償付債務或破產時，本公司(客戶)可能不能收回所支付購買虛擬資產之款項；

14. Our Company (the Client) hereby expressly agree to exclude Solomon from all liabilities, claims, damages, costs (including legal cost), proceedings or damages arising out of the Transaction. For the avoidance of doubt, Solomon shall not be liable for any default in payment by the issuer/custodian/exchange of the VA;



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本公司(客戶)明確同意免除華贏證券一切因應交易而產生之債務、索償、成本費用(包括法律費用)、訴訟或損失。為免產生疑問，華贏證券毋須負責任何虛擬資產發行人/托管人/交易所之付款失責行為；

15. Our Company (the Client) agree to fully indemnify and keep harmless Solomon and its officers, employees and agents against any loss, claim, damage, cost (including legal cost), proceedings or liability which any of them may incur or suffer directly or indirectly pursuant to or in connection with your accepting Our Instruction and acting thereon except for those damages arising out of Solomon's fraud, negligence or willful misconduct;

本公司(客戶)同意全數彌償及使華贏證券及其主管、僱員及代理人就其直接受本公司(客戶)之指令及其行事而引起之一切直接或間接損失、索償、成本費用(包括法律費用)、訴訟或債務不須負上任何責任，除了因華贏證券的詐欺、疏忽或故意不當行為造成的損害；

16. Solomon shall incur no liability whatsoever in exercising any or all of Solomon's right or for taking or not taking any action (including any legal action or proceeding) in connection with any Transactions except for those damages arising out of Solomon's fraud, negligence or willful misconduct;

華贏證券毋須因行使有關在交易上令華贏證券之任何或全部權利或採取或不採取行動(包括任何法律行動或訴訟)而負上任何責任，除了因華贏證券的詐欺、疏忽或故意不當行為造成的損害；

17. The Account may be closed by Solomon or by Us at any time and for any reason forthwith upon written notice being given in accordance with the Terms and Conditions to the other provided that all acts performed by Solomon in accordance with Our instructions prior to Solomon receiving written notice of such termination shall be valid and binding on Us and Our company representatives or successors in title;

一旦由本公司(客戶)/華贏證券遵照該等條款之規定向對方發出書面通知，本公司(客戶)/華贏證券可即時結束該賬戶。惟華贏證券在收到此書面結束通知前已依據本人/吾等之指示而執行之事務，仍然有效及對本公司(客戶)或本公司(客戶)的遺產代理人或本公司(客戶)的權益承繼人有約束力；

18. VA dealing services shall only be provided to Us that shall be, and remain at all times, the client in respect of Solomon's business in Type 1 regulated activity (dealing in securities), which means our VA account will also be closed if our securities account is closed;

虛擬資產交易服務僅向本公司提供時，本公司(客戶)須同時一直都是華贏證券第 1 類受監管活動(證券交易)業務的客戶，這意味著如果本公司(客戶)的證券賬戶被關閉，本公司(客戶)的虛擬資產交易賬戶也將一併被關閉；

19. This Agreement shall be binding and ensure to the benefit of our successors, whether or not such person has initiated the Instruction;

本協議將約束本公司(客戶)及本公司(客戶)之繼承人，無論此等人士是否發出有關指令；

20. The terms of this Agreement shall remain in full force and effect unless and until you receive, and have a reasonable time to act on, a notice of termination in writing duly signed by Us, save that such termination will not release Us or any of us from any liability under the terms of this Agreement in respect of any act performed by you pursuant to this Agreement before the expiry of such time; and

除非及直至華贏證券收受本公司(客戶)親筆簽署之終止協議通知書，並有合理充足時間處理，否則本協議之條款仍然有效。在本協議失效前，華贏證券按本協議之條款作出之任何行動，本公司(客戶)均須負責；及

21. This Agreement shall be construed and governed by the laws of Hong Kong Special Administrative Region of The People's Republic of China.

本協議須受中華人民共和國香港特別行政區之法律規管及以之執行。

22. Our company (the Client) hereby declare that after signing in the signature column herein below by myself (the Client), indicated that our company (the Client) have already fully read, confirmed, agreed, accepted and understood All Those



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Terms (including all the relevant contents and provisions of this Additional Agreement, the Terms and Conditions for "Client Agreement for Virtual Assets" , "Risk Disclosure Statements" ), Our company (the Client) have already sought independent legal advice and have also understood all the contents and provisions and have no questions to ask.

本公司(客戶)茲聲明·當本公司(客戶)於下列簽署欄內簽署後·即表示本公司(客戶)已完全細閱、確認、同意、接受及明白該等條款(包括本附加協議內所有內容、《虛擬資產客戶協議書》及《風險披露聲明》內的所有條款)。關於上述所有內容和細則·本公司(客戶)已尋求獨立法律意見·並明白所有內容和細則及沒有任何疑問。

**Percentage of Virtual Asset Investment 虛擬資產投資佔比**

Q1. 貴公司有多少流動資產(港元) (不包括貴公司擁有的房地產物業及貴公司的所有借貸總額) 可分配進行投資?

How much liquid assets (HKD) (not including properties and excluding your company liabilities) can be used for investment?

HK\$ \_\_\_\_\_

Q2. 除了華贏證券之外·貴公司在外部交易所還持有其他虛擬資產嗎?

Do you have other virtual assets holdings on external exchanges other than at Solomon Securities?

沒有 No

有, 其他虛擬資產佔貴公司擁有的流動資產比例: \_\_\_\_\_ % (若佔比超過 30%不允許開立虛擬資產賬戶)

Yes, the percentage of other virtual assets against your company liquid assets: \_\_\_\_\_ %

(If the allocation exceeds 30%, opening a Virtual Assets Account is not permitted)

Our Company (the Client) agree that apply Virtual Assets Account (Cash) to trade virtual assets with Solomon Securities.本公司(客戶)申請開通虛擬資產賬戶(現金)·透過華贏證券交易虛擬資產。

\* Client applying to open a Virtual Assets Cash Account must have a high-level risk tolerance, complete the "Client Risk Profile Questionnaire" and pass the "Virtual Asset Knowledge and Experience Questionnaire".

\* 客戶申請開通虛擬資產現金買賣賬戶的風險承受能力水平需為高級別,並完成《客戶風險取向問卷》及通過《虛擬資產知識及經驗問卷》。

**H9. Securities SBL Margin Account 證券借貸沽空保證金買賣賬戶**

According to the "Securities and Futures Ordinance", unless the investor owns the stock or reasonably believes that he can successfully borrow the stock when he sells the shares, he cannot sell the shares of no position. Therefore, you need to borrow stocks firstly, and then short them. Both the borrower and the lender of the stock need to sign the "Securities Lending Agreement". You will sign the agreement with Solomon JFZ (Asia) Holdings Limited ( "Solomon" ) (the securities lender) as the securities borrower.

根據香港《證券及期貨條例》, 除非投資者在沽售股份時擁有或合理地相信自己可成功借入股票, 否則投資者不可以賣出本身沒有持有的股份。因此, 您需要先借入股票, 再進行沽空。股票的借方及貸方均需簽署《證券借貸協議》, 您將作為證券借入方與華贏東方(亞洲)控股有限公司("華贏")(證券借出方)簽署該項協議。

1. You need read and sign the "Securities Lending Agreement" with Solomon, which can only take effect after passing all internal and external approval procedures. In this step, you need to read and sign the agreement.

您需要閱讀並與華贏簽署《證券借貸協議》, 該協議通過全部內外部審批流程後方可生效。





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2. You need to register the above agreement with the Hong Kong Inland Revenue Department and pay the registration fee of HK\$270. In order to reduce the complicated operations for you, Solomon will register the "Securities Lending Agreement" on your behalf as an agent and pay the registration fee. In this step, you need to authorize Solomon to initiate the task of checking the maximum withdrawable amount and deduct funds from the securities account.

您需要向香港稅務局登記上述協議並繳付首次稅局登記費 270 港幣。為減少您將面臨的繁複操作，華贏會以代理人身份代您登記《證券借貸協議》並繳付首次稅局登記費。在此步驟中，您需要向華贏授權，允許華贏隨時從您進行申請的證券帳戶中自動發起檢查最大可提金額並進行扣款的任務。

**Note: When performing automatic deduction, the system will check the current "maximum withdrawable" amount of the account, not the "cash withdrawable" amount. Therefore, if you agree to the deduction, it means that you know that your account may generate loan interest after the deduction, and you are willing to pay related fees and loan interest.**

註：在進行自動扣費時，系統會檢查當前帳戶的「最大可提」金額，而非「現金可提」金額。所以，如果您同意扣款，則代表您知悉，扣款後您的帳戶可能產生孳展計息金額，您願意支付相關費用以及孳展利息。

3. Solomon will register the "Securities Lending Agreement" on the GovHK website as an agent on your behalf and review the result of tax bureau registration. In this step, you do not need to do anything, just wait for the review result. After all the steps are completed, you will receive a system email notification of "Hong Kong stock short sale registration takes effect", and then you can start short selling.

華贏會以代理人身份代您在香港政府一站通網站進行《證券借貸協議》登記並對稅局登記結果進行覆核。在此步驟中，您無需進行任何操作，只需等待覆核結果。在所有步驟結束後，您將收到「港股沽空登記生效」的系統郵件通知，屆時您可以開始進行港股沽空交易。

**Please note: If the Stamp Office rejects the registration of this agreement, the customer will still not be able to use short-selling transactions, and the lender (Solomon) will not refund the registration fee to the borrower (customer).**

請注意：如印花稅署署長拒絕本協定的登記，則客戶仍將不可進行沽空交易，且貸方（華贏）將不會將首次稅局登記費退還給借方（客戶）。

#### **Stamp Duty Supplemental Terms for global master securities lending agreement 證券借貸協議之印花稅補充條款**

The Client acknowledges that the registration of Global Master Securities Lending Agreement (「Registration」) is under application, the stamp duty relief for securities borrowing has not been effective. The Client acknowledges and agrees that prior to the approval of the Registration by the Hong Kong Inland Revenue Department, the stamp duty arising from the securities borrowing and lending as a result of short selling transaction shall be borne by the Client, and hereby authorize Solomon to deduct from his securities account in advance. The securities borrowing and relevant stamp duty are under the 「Deduct in advance then refund」 approach. Those will refund to the Client's securities account once the Registration application has been approved.

客戶知悉向香港稅務局提出的證券借貸協議登記（「登記」）仍在進行中，證券借用之有關印花稅寬免尚未生效。客戶知悉並同意在香港稅務局批准該登記前，客戶進行任何賣空交易產生的證券借用及交還之有關印花稅需由客戶承擔，並授權華贏在其證券帳戶中預先扣除。證券借用及交還之有關印花稅採取「先收後返」的方式，並在證券借貸協議登記獲批准後退回客戶的證券帳戶。

The Client understands and agrees that if the Hong Kong Inland Revenue Department rejects the Registration, Solomon shall not assume any responsibility. The securities borrowed and the stamp duty during that period will not be relieved nor refund.

客戶明白並同意若該登記不獲香港稅務局批准，華贏證券將不會負有任何責任。期間所產生的借用證券並預先扣除之有關印花稅亦將不獲寬免，並不予退回。

This Stamp Duty Supplemental Terms is part of the Global Master Securities Lending Agreement (the "Master Agreement") which entered between the Client and Solomon. It share the same juridical status as the Master Agreement.



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All terms that appear in this Supplemental Terms, unless otherwise stated, shall have the same definitions as stated in the Master Agreement. The terms, except as expressly amended by this Supplemental Terms, the other terms that appear in the Master Agreement shall continue in full force and effect.

本補充條款為客戶與華贏簽署的《證券借貸協議》(稱「主協議」)的一部分,與主協議具有同等法律約束力。本補充條款中的所有術語,除非另有說明,否則其定義與主協議中的定義相同。除本補充條款明確所作修改的條款之外,主協議的其餘部分應完全繼續有效。

If any inconsistency between the English and Chinese versions of this Stamp Duty Supplemental Terms, the English version shall prevail.

本補充條款中英文版本如有不一致之處,以英文為準。

Our Company (the Client) have read and agree with all the above contents and provisions and 「Stamp Duty Supplemental Terms for Global Master Securities Lending Agreement」. Our Company (the Client) agree that apply Securities SBL Margin Account to engage in covered short selling through Solomon. \*

本公司(客戶)已閱讀並同意上述所有內容和細則及《證券借貸印花稅安排補充條款》。本公司(客戶)申請開通證券借貸沽空保證金買賣賬戶,透過華贏證券進行有擔保沽空交易。\*

\* Client applying to open a Securities SBL Margin Account must first establish a Securities Margin Account, with a risk tolerance level set at a high level. Client(s) is/are required to complete the "Client Risk Profile Questionnaire" and sign the "Global Master Securities Lending Agreement" with Solomon.

\* 客戶申請開通證券借貸沽空保證金買賣賬戶需先開立一個證券賬戶保證金買賣賬戶,風險承受能力水平需為高級別。客戶需要完成《客戶風險取向問卷》及與華贏簽署《證券借貸協議》。

## H10. Client Declaration 客戶聲明

1. The Client agrees to open accounts listed in Section A1 herein ( "Account" ) with Solomon and is bounded by the Account Opening Form and the relevant Sections of the "Client Agreement" and all the provisions of the rules and guidelines promulgated by Solomon from time to time (collectively referred to as "All Those Terms" ). The Client has already been advised by Solomon to seek independent legal advice for All Those Terms. The Client agrees that Solomon can request the Client to sign any documents as required under the above said terms and conditions. Before opening the Account with Solomon, the Client has fully read and understood the contents of All Those Terms and the Client agrees, accepts and confirms all its provisions and agrees and accepts to be bound by All Those Terms.

客戶同意遵守開戶表及《客戶協議書》之相關章數的所有條款及條件及其他由華贏證券不時發出之守則及指引內之所有條款及條件(統稱「該等條款」)開立此開戶表格 A1 章節所列出的賬戶(「賬戶」)。華贏證券已經建議客戶對上述之該等條款尋求獨立法律意見。客戶同意華贏證券有權要求客戶就上述有關條款及規則的要求簽署相關文件。客戶於華贏證券開立賬戶前已經細閱及完全明白所有該等條款之內容。客戶並同意、接受及確認該等條款內所有條款及條件,並同意及接納受該等條款的約束。

2. The Client hereby acknowledges and confirms that the Client has authorized Solomon to deal with the Client' s moneys, securities, the Collateral and the Margin upon and in accordance with the relevant part of the "Client Agreement" (the "Relevant Standing Authority" ). The Client acknowledges and confirms that the contents and effects of the Relevant Standing Authority have been explained to the Client, and the Client fully understands: - (i) the contents and effects of the Relevant Standing Authority; and (ii) The Client hereby authorizes Solomon to have an absolute discretion to renew the relevant authorities. The Standing Authority (Client Securities) is applicable to the Securities Margin Accounts Clients while it is not applicable to cash clients who only hold a securities cash account. The Standing Authority (Client Money) is applicable to the Clients with multiple accounts while it is not applicable to clients



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holding one account only.

客戶謹此知悉及確認，已根據《客戶協議書》內之適用部分(「適用常設授權」)，授權華贏證券處置客戶款項、證券、抵押品及保證金。客戶知悉及確認適用常設授權的內容及作用已獲清楚解釋，而客戶亦完全明白(i)適用常設授權的內容及作用；及(ii)客戶謹此授權華贏證券有絕對的酌情權延續有關授權。常設授權(客戶證券)適用於證券保證金賬戶的客戶，並不適用於只持有證券現金戶口的客戶。常設授權(客戶款項)適用於持有多於一個戶口的客戶，並不適用於只持有單一戶口的客戶。

3. The Client acknowledges and confirms Standing Authority is required to be renewed annually. The Client has authorized Solomon to automatically renew the aforesaid for the Client annually. The Client has the choice to reject the renewal. If no written objection is received by mail from the Client, it means the Client accepts the extension and to be bounded by the renewed Standing Authority agreement.

客戶知悉及確認常設授權每年需續約一次。客戶已授權華贏證券每年替客戶自動延續上述授權，客戶可提出反對。如沒有收到客戶書面反對，則表示客戶同意及接受延長常設授權並繼續受其約束。

4. The Client hereby instructs and authorizes Solomon to accept moneys or funds paid and/or cheques drawn from any bank account(s) solely held by the Client and/or jointly held by the Client and any person(s) and to accept the Client's securities and/or the collateral (either in its sole name or in the joint name with any person(s)). The Client shall be responsible to ensure that the holder of bank account, cheque issuer, owner of securities and/or the owner of relevant collateral of deposit of funds are consistent with the name of the Client's account and declares that the Client is the owner of the said cash, securities and/or relevant collateral. Solomon shall not be responsible for making any verification. Solomon shall have an absolute discretion to determine whether or not to accept the deposit of such moneys, funds, cheques drawn from such bank account(s), Internet Depositing Money, securities, collateral and/or relevant instructions, and under any circumstances Solomon shall not be held liable for any loss, damages, expenses, loss of profit whatsoever suffered and/or incurred by the Client arising out (directly or indirectly) of or in connection with Solomon's accepting or not accepting such deposit of moneys, funds, cheques drawn from such bank account(s), Internet Depositing Money, securities, collateral and/or relevant instructions.

客戶特此指示及授權華贏證券接受客戶由其單獨持有及/或由客戶與其他人士共同持有之銀行賬戶所支付之金錢或資金及/或發出的支票存款及接受客戶之證券及/或抵押品(以其個人名義或與其他人士共同名義)。客戶須確保存入之款項之銀行賬戶名稱、支票發出人、證券擁有人及/或相關抵押品擁有人與客戶之賬戶名稱相符，並聲明客戶擁有該款項及證券及/或相關抵押品之擁有權。華贏證券無需另行查證。華贏證券有絕對酌情權決定是否接納由該銀行賬戶存入之該等金錢、資金、發出的支票存款、網上存款、證券、抵押品及/或有關指示，並在任何情況下華贏證券無須因為其接納或不接納由該銀行賬戶存入之該等金錢、資金、發出的支票存款、網上存款、證券、抵押品及/或有關指示而(直接或間接)引致客戶所蒙受的任何損失、損害賠償、開支或失去任何利潤而承擔責任。

5. The Joint Clients have authorized Solomon to accept the instructions of any one or all of the Joint Clients ( "Such Person" ) to Solomon (including but not limited to verbal instructions and written instructions). Such Person shall have the authority to handle the operation of the Account and exercise all rights, powers and discretion pursuant to All Those Terms on behalf of any of the Joint Client. Solomon may follow the Instructions given by Such Person and shall not be required to give notice to, or obtain authorization from, any one or all of the Joint Clients in respect of such Instructions. Solomon shall have an absolute discretion to determine whether or not to accept the relevant Instructions and Solomon shall not be liable as such for any loss whatsoever incurred as a result of accepting or not accepting the instructions. Any act, conduct, Instructions, directions, decisions and/or authorizations of any of the Joint Clients shall be jointly and severally binding on the other Joint Clients.

聯名客戶已授權華贏證券可接受聯名客戶的其中一位人士(「該人士」)個別向華贏證券發出任何指示(包括但不限於口頭指示及書面指示)。該人士有權處理賬戶內的運作及代表其他聯名客戶行使該等條款下的所有權利、權力及酌情權。華贏證券可根據該人士發出的指示行事，而不需向其他聯名客戶或所有聯名客戶發出有關指示的通知，或取得有關指示的授權書。華贏證券有絕對酌情權決定是否接納有關指示，以及有關接納與否而導致之後果，華贏證券亦無須就此而負上任何責任。任何聯名客戶的任



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何行動、行為、指示、方向、決定及/或授權，對其他聯名客戶均構成個別及共同的約束力。

6. The Client or its Authorized Person must use the designated telephone number provided by Solomon from time to time (the "Designated Telephone") for any instructions. For the avoidance of doubt, if (i) any Instructions given by telephone other than the Designated Telephone, or (ii) any Instructions given by other telephone numbers of Solomon or any Instructions given by messages left at the voicemails of other telephone numbers of Solomon or any personal mobile phone numbers of the employees or agents of Solomon (collectively referred to as "Non-designated Telephone Number Instructions") shall not be accepted by Solomon. Notwithstanding the above restrictions, Solomon has an absolute discretion to determine whether or not to accept the Non-designated Telephone Number Instructions and Solomon shall not be liable as such for any loss whatsoever incurred as a result of accepting such instructions.

客戶或其獲授權人士必須使用華贏證券不時提供的指定電話號碼("指定電話號碼")進行任何指示。為清楚起見，如客戶(i)透過電話但並非使用指定電話號碼給予的任何指示；或(ii)透過華贏證券的其他電話號碼給予的任何指示或華贏證券的其他電話號碼的留言信箱留下口訊所給予的任何指示或透過華贏證券的僱員或代理人的個人手提電話號碼給予的任何指示(統稱「非指定電話號碼指示」)，華贏證券均不接受。即使有以上之規限，華贏證券有絕對酌情權決定是否接納非指定電話號碼指示，以及有關接納與否而導致之任何損失，華贏證券亦無須就此而負上任何責任。

7. Solomon may post the specifications and information relating to the relevant securities (including but not limited to the margin requirement to open any transaction) on [www.solomonwin.com.hk](http://www.solomonwin.com.hk) from time to time and the same shall be binding on the Client. Solomon shall not be held liable for any error, loss, expenses, damages or loss of profit suffered by the Client as a result of any omission of such specifications and information or delay in notifying such specifications and information. The Client hereby confirms that the Client has read and fully understood such specifications and information in a language of the Client's choice. The Client also confirms that the Client has been invited to ask questions in writing and take independent advice.

華贏證券不時於[www.solomonwin.com.hk](http://www.solomonwin.com.hk)內刊載有關證券期貨之規格及資料(包括但不限於任何交易的保證金要求)，該等規格及資料對客戶有約束力。華贏證券不須對該等規格及資料的遺漏或延誤通知令客戶蒙受的任何錯誤、損失、開支、賠償或失去任何利潤而負上任何責任。客戶現確認客戶已詳細閱讀按照客戶選擇的語言而提供之該等規格及資料。客戶亦確認已獲邀請透過書面途徑提出問題及尋求獨立意見。

8. The Client declares and confirms that all the information provided in this Account Opening Form is true, complete and correct and authorizes Solomon to confirm this from any source and the Client shall immediately inform Solomon of any change of the aforesaid information.

客戶聲明及確認所有填寫於本開戶表的資料均屬真實、完全及正確，並授權華贏證券可向任何方面查證。客戶承諾，如上述資料有任何變更，客戶必須立刻通知華贏證券。

9. The Client acknowledges and confirms that the following Licensed Person has already explained the Form herewith including but not limited to the Risk Disclosure Statement as set out in the "Client Agreement" in a language of the Client's choice. The Client hereby fully understood and accepted all the aforesaid contents and provisions and has also already sought independent legal advice.

客戶知悉及確認華贏證券已根據客戶所選擇的語言向其解釋此表格包括但不限於《客戶協議書》內的風險披露聲明。客戶已完全明白及接受所有內容和細則，並已尋求獨立法律意見。

10. The Client authorizes Solomon on behalf of the Client to take any necessary action to open any account(s) with any relevant financial company(ies)/institution(s) at the absolute discretion of Solomon.

客戶已授權華贏證券全權代表客戶並有絕對酌情權在相關金融機構開設任何賬戶及辦理相關手續。



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11. The Client authorizes Solomon to pass the order on behalf of the Client to any relevant financial company(ies)/institution(s) and the Client is aware and confirms Solomon does NOT involve in any Client' s order. The Client acknowledges and accepts the risks in the event that the relevant financial company(ies)/institution(s) defaults or fails to fulfill their roles; or the relevant financial company(ies)/institution(s) bankrupts or ceases business, the Client may not be able to complete the transaction or lose money or holdings. In any condition, Solomon will NOT be responsible for any losses or damages incurred or suffered as a result thereof.

客戶已授權華贏證券把客戶的交易指示轉遞予任何相關金融公司/機構，並知悉及確認華贏證券沒有參與任何客戶的交易指示。客戶知悉及同意承擔因相關公司/金融機構違約或停止履行其責任，或因相關金融公司/機構破產或停業，而導致客戶無法完成交易或損失金錢或所持有的風險。在任何情況下，華贏證券均不須對上述所引致的損失或損害承擔任何責任。

12. The Client agrees and accepts Solomon to set-off on a cash rolling balance basis, any amount receivable from, and payable to, the account where such amount arise from the purchase and sale of securities by the Client on a cash-against-delivery basis, the Client now authorizes Solomon to set-off such amounts against each other in such account; and dispose of securities held for the Client for the purpose of settling any of the amounts payable by the Client to Solomon.

客戶同意及接受華贏證券以現金結餘滾存方式就賬戶內將應從賬戶收取的款項與應向該賬戶支付的款項互相抵銷，而該等款項是因該賬戶以貨銀兩訖形式買賣證券所產生的，現客戶授權華贏證券就該賬戶內該等款項互相抵銷；及為清償客戶應支付予華贏證券的款項而處置為客戶持有的證券。

13. Regarding the Account Type in the Section A herein, the Client understands and confirms any additional account type can be activated through the telephone or other electronic means with Solomon; the Client agrees and accepts to be bounded by All Those Terms.

有關於上述 A 章節中的賬戶類別，客戶明白及確認日後可透過電話或電子途徑通知華贏證券加開任何其他類別賬戶。客戶亦須同意及接受賬戶開啟後的《該等條款》。

14. The Client agrees that margin requirement to open any transaction is prescribed by Solomon from time to time and the Client should pay attention to the announcement/notice promulgated on [www.solomonwin.com.hk](http://www.solomonwin.com.hk) from time to time.

客戶同意進行任何交易的保證金要求將會由華贏證券不時訂立，客戶應不時留意於 [www.solomonwin.com.hk](http://www.solomonwin.com.hk) 刊載的有關公告/通知。

15. The Client agrees that if the deposit/withdraw currency is other than the account denominated currency, the deposit/withdraw will be converted into the account denominated currency according to the applicable exchange rate available at Solomon.

客戶同意如客戶以賬戶基準貨幣以外的貨幣存款/提款，華贏證券會以當時適用的匯率將存入/提取的外幣兌換成該賬戶之基準貨幣。

16. The Client agrees that according to the FATCA ( "Foreign Account Tax Compliance Act" ), Solomon must identify U.S. account holders as well as entities under U.S. control (i.e. U.S. persons having a substantial ownership interest in the entity) and provide the Internal Revenue Service ( "IRS" ) with information on their assets, income payments and trade flows during the fiscal year.

客戶同意根據「海外賬戶稅收遵從法」( "FATCA" )，華贏證券必須識別出美國賬戶持有人及由美國控制的實體(即持有實體重大擁有權權益的美國人士)，然後向稅務局(IRS)提供其於該財政年度內的資產、收入款項及交易流資料。

17. The Client agrees that according to the Inland Revenue Ordinance (Cap. 112) ( "IRO" ) of Hong Kong, Solomon as a financial institution defined under the IRO is required and authorized to collect and/or report certain information about the Account Holder's tax residence and the account information for the purpose of automatic exchange of financial account information. The information requested and collected in this form is intended to be consistent with the law requirements in Hong Kong.



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客戶同意根據香港《稅務條例》(第 112 章)·華贏證券作為《稅務條例》定義下的財務機構是被要求及授權收集及/或匯報若干關於賬戶持有人的納稅居住地和賬戶資料作自動交換財務賬戶資料之用。此表格要求及收集的資料旨在與香港法例要求的一致。

18. The Chinese version of All Those Terms shall prevail over other translated versions which is for reference only.

該等條款以中文版本為準·如有任何對該等條款的翻譯文本僅作為參考目的使用。

19. Our Company (the Client) hereby declare that after signing in the signature column herein below by ourselves (the Client), indicated that Our Company (the Client) have already fully read, confirmed, agreed, accepted and understood All Those Terms (including all the relevant contents and provisions of this Account Opening Form, the Risk Disclosure Statements, "Terms and Conditions for "Client Agreement" ), Our Company (the Client) have already sought independent legal advice and have also understood all the contents and provisions and have no questions to ask.

本公司(客戶)茲聲明·當本公司(客戶)於下列簽署欄內簽署後·即表示本公司(客戶)已完全細閱、確認、同意、接受及明白該等條款(包括本開戶表格內所有內容、《風險披露聲明》及《客戶協議書》內的所有條款)·關於上述所有內容和細則·本公司(客戶)已尋求獨立法律意見·並明白所有內容和細則及沒有任何疑問。

獲授權人士簽署 Signature of Authorized Person

公司名稱 Company Name

獲授權人士姓名 Name of Authorized Person

簽署日期 Date of Signature

Witness Declaration and Signature 見證人簽署

I, the undersigned, have witnessed the signature and inspected the original identity documents of the above-named client(s)

本人·下簽署人·已見證及題證上述客戶之家著从有關其身份證明文件之正本。

\* Professionals of Witness: SFC licensed or registered person, a branch manager of a bank, Certified Public Accountants, Solicitors, Notaries, Justice of the Peace, Chartered Secretaries

見證人所屬之專業人士：證監會持牌人或註冊人、銀行分行經理、執業會計師、律師、公證人、太平紳士、特許秘書。

見證人簽署 Signature of Witness

專業資格及註冊號碼 Qualification and Registration No

見證人姓名 Name of Witness

簽署日期 Date of Signature



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Signature of Licensed Representative 持牌代表簽署

(For Official Use Only 供華贏證券職員填寫)

Declaration by Staff of Solomon JFZ (Asia) Holdings Limited 華贏東方(亞洲)控股有限公司職員聲明

I, a licensed or registered person, have confirmed that I have 本人,以持牌人或註冊人身份,特此確認本人已:

- provided the Supplemental Documents (including the Risk Disclosure Statement and the Personal Information Collection Statement where applicable) and clearly explained the Risk Disclosure Statements in a language of the Client's choice; and  
提供補充文件 (包括風險披露聲明及個人資料收集聲明, 如適用) 及根據客戶所選擇的語言向其解釋風險披露聲明; 及
- invited and suggested the Client to read and ask questions and to seek independent legal advice if the Client wishes;  
邀請及建議客戶細閱風險披露聲明, 及就其內容和細則提出問題及尋求獨立法律意見(如客戶有此意願);

持牌代表姓名 Name of Licensed Representative

持牌代表簽署 Signature of Licensed Representative

職位及中央編號 Position and CE No.

簽署日期 Date of Signature

APPROVED AND ACCEPTED SOLOMON 華贏批核及接納

Signature of Approving Officer

批核主任簽署

Name of Approving Officer

批核主任名稱

Approval Date

批核日期

<i>For Office use only</i>	Securities Cash Account	Securities Margin Account	VA Cash Account	SBL Margin Account
Completed Client Risk Profile Questionnaire	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
Passed VA Knowledge Test	N/A	N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No	N/A
Approval for AC Opening	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
Commission rate (%)				
Interest rate (%) HKD			N/A	
Interest rate (%) USD				
Interest rate (%) CNY			N/A	
Trading/Margin Limit approved			N/A	

Remarks:



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## Required Documents 所需資料

### Company Incorporated in Hong Kong 香港註冊公司

Type of Corporate: Company (Non-Financial Institution) 公司類型: 普通公司 (非金融機構)

Original or Certified True Copy\*\* of the following 以下需提供正本或核證本:

- Business Registration Certificate/Certificate of Incorporation (CI) 商業登記證/公司註冊證
- Memorandum and Articles of Association (Latest Version) 公司組織及章程 (最新版)
- The latest Annual Return (NAR1) and its subsequent change of particulars (for example, ND2A, etc.) or Incorporation Form (NNC1) filed in the Companies Registry of Hong Kong  
存檔於香港特別行政區公司註冊處的最新公司年報 (NAR1) 及其隨後更改詳情 (ND2A 等) (如有) 或法團成立表格 (NNC1) (如新成立公司)
- Ownership Chart Certified by a director (Latest Version) 經公司董事簽署確認的股權架構圖 (最新版)
- Proof of business address issued within the recent 3 months (if different from the registered address and P.O. Box is not acceptable) 營業地址證明 (最近3個月內有效, 如與註冊地址不同, 並不接受郵政信箱)
- The company's Bank Account Statement 公司銀行戶口證明
- ID/Passport of ALL Directors, ALL Authorized Persons & Shareholders 所有董事、股東及獲授權人的有效身份證和/或護照
- Address Proof (within 3 months) of ALL Directors, ALL Authorized Persons & Shareholders 所有董事、股東及獲授權人的位址證明 (最近3個月內有效)
- Audited Financial Statement (last fiscal year) (If any) 最近財政年度已經審核之帳目 (如有)
- Proof of Certifier's Professional Qualification (If any) 核證人專業資格證明 (如有)

**\*\* Attn: Solomon only accept the document copies certified by certified public accountant, lawyer, notary, Justice of the Peace, Chartered Secretaries, SFC licensed person or registered person.**

**\*\* 注: 本公司只接受經執業會計師、律師、公證人、太平紳士、特許秘書、證監會持牌人或註冊人所簽發的核證本。**

另需填寫、簽署及提交以下的文件 Please prepare, sign and submit the following documents:

- Board Resolution/Board Minutes, listing out the authorized person(s) and specimen signatories authorized to open account, operate the account and send settlement instruction to move funds/assets 董事會決議/會議記錄, 表明與本公司開設戶口及授權人名單 (連簽名樣本)
- Self-certification form – Entity, and/or Self-certification Form - Controlling Person (If applicable) 自我證明表格-實體 及/或 自我證明表格-控權人(如適用)
- W8-BEN-E Form





Solomon JFZ (Asia) Holdings Limited 華贏東方 (亞洲) 控股有限公司

ACCOUNT OPENING FORM (CORPORATE ACCOUNT)

開戶表格 (公司賬戶)

## Required Documents 所需資料

### Company Incorporated in Foreign Country 海外公司

Type of Corporate: Company (Non-Financial Institution) 公司類型: 普通公司 (非金融機構)

Original or Certified True Copy\*\* of the following 以下需提供正本或核證本:

- Certificate of Incorporation (CI) / Other evidence of due incorporation 公司註冊證書及其它註冊證明
- Certificate of Change of Name (If any) 公司更改名稱證明書 (如有)
- Certificate of Incumbency (including proof of Good Standing status) – issued within six months  
當地註冊代理人簽發的職權證明書 (包括良好記錄證明) - 六個月內發出
- Memorandum and Articles of Association (Latest Version) 公司組織及章程 (最新版)
- Register of Directors 董事委任名冊
- Register of Members/Shareholders 股東名冊
- Ownership Chart Certified by a director (Latest Version) 經公司董事簽署確認的股權架構圖 (最新版)
- Proof of business address issued within the recent 3 months (if different from the registered address and P.O. Box is not acceptable) 營業地址證明 (最近3個月內有效, 如與註冊地址不同, 並不接受郵政信箱)
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- Address Proof (within 3 months) of ALL Directors, ALL Authorized Persons & Shareholders 所有董事、股東及獲授權人的住址證明 (最近3個月內有效)
- Audited Financial Statement (last fiscal year) (If any) 最近財政年度已經審核之帳目 (如有)
- Proof of Certifier's Professional Qualification (If any) 核證人專業資格證明 (如有)

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- W8-BEN-E Form