



Solomon JFZ (Asia) Holdings Limited 華贏東方 (亞洲) 控股有限公司
Institutional Professional Investor Account Opening Form
機構專業投資者開戶表格

A. Account Type 賬戶類別: (For Internal Use Only 內部填寫)	
Account Number 賬戶號碼: <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	
<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	
Under the HKIDR, client should provide Type of Identity Document in this order of priority: (1) LEI registration document; (2) Certificate of Incorporation; (3) Business Registration Certificate; (4) other equivalent documents. 根據香港投資者識別碼制度，身份證明文件類別請按以下優先次序排第：(1)法律實體識別編碼 (LEI) 登記文件；(2)公司註冊證明書； (3)商業登記證；(4)其他同等文件)。	
Account Opening Method 開戶方法: <input type="checkbox"/> IN PERSON 親臨開戶 <input type="checkbox"/> BY POST - CERTIFIED DOCUMENTS 郵遞-已認證文件	
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. Account Applicant's Personal Information 戶口申請人之個人資料	
Registered Corporate Name (English) 註冊公司名稱 (英文):	
Registered Corporate Name (Chinese) 註冊公司名稱 (中文):	
Legal Entity Identifier (LEI) (If any) 法律實體識別編碼 (LEI) (如有): #	Business Registration No. in Hong Kong 香港商業登記證號碼:
Certificate No. of Incorporation 公司註冊號碼:	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)
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): _____	
Business Phone No. 公司電話號碼:	Business Fax No. 公司傳真號碼:
E-mail Address 電郵地址:	
Contact Person 聯絡人	
Name 姓名: _____ Tel No. 電話: (適用於經APP交易) _____	



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C. Source of Fund 資金來源		
<input type="checkbox"/> Operating Income 營業收入	<input type="checkbox"/> Investment Income 投資收益	<input type="checkbox"/> Client Money 客戶資金
<input type="checkbox"/> Shareholder Investment 股東投資	<input type="checkbox"/> Other (provide details) 其他 (請說明): _____	

D. Nature of Entity 組織類別	
(a) <input type="checkbox"/>	Recognized exchange company / clearing house/ automated trading services provider 交易所/結算所/自動化交易服務提供者
(b) <input type="checkbox"/>	Intermediary, Proprietary Trading or investment services provider regulated outside Hong Kong 中介人/自營交易或受香港以外地方規管的投資服務提供者
(c) <input type="checkbox"/>	Authorized financial institution / bank regulated outside Hong Kong 經認可的財務機構/ 受香港以外地方規管的銀行
(d) <input type="checkbox"/>	Authorized / regulated insurance company 經認可/ 受規管的保險公司
(e) <input type="checkbox"/>	Authorized / regulated collective investment scheme or persons operating them 經認可/ 受規管的集體投資計劃或其營辦人
(f) <input type="checkbox"/>	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 經註冊的退休計劃/ 成分基金/ 經核准的受託人/ 受《強制性公積金計劃條例》規管的服務提供者/ 屬經註冊的退休計劃或成份基金投資經理
(g) <input type="checkbox"/>	Registered occupational retirement scheme / regulated offshore scheme / its administrator defined under the Occupational Retirement Schemes Ordinance 經註冊的職業退休計劃/ 受其本籍當地規管的離岸計劃/ 其管理人
(h) <input type="checkbox"/>	Government (other than municipal government) / central bank / multilateral agency 政府(市政府除外)/ 中央銀行/ 多邊機構
(i) <input type="checkbox"/>	(i) Wholly owned subsidiary of an intermediary / authorized financial institution / bank or investment services provider regulated outside Hong Kong 中介人/ 認可財務機構/ 受香港以外地方規管的銀行/ 或投資服務提供者的全資附屬公司 (ii) Holding Company which wholly owns an intermediary / authorized financial institution / bank or investment services provider regulated outside Hong Kong 中介人/ 認可財務機構/ 受香港以外地方規管的銀行/ 或投資服務提供者的全資擁有控股公司 (iii) Other wholly owned subsidiary of a holding company referred to in (ii) (ii)提述的控股公司的其他的全資附屬公司
Customer is regulated by (for other than HK Institutional PI) 客戶的監管機構 (僅適用於非香港機構專業投資者):	
Website of Regulator 監管機構網址 :	



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E. Settlement Account Information 結算賬戶資料

The Client hereby instructs and authorizes Solomon JFZ (Asia) Holdings Limited ("Solomon") to deposit all payments payable to the Client into the following bank account. Solomon will comply with the requirements of the "Client Agreement" and to the extent as soon as reasonably practicable, deposit the payments into the following Settlement Account for the Client as soon as possible. Solomon shall not be held liable for any loss, expenses or damages suffered by the Client as a result of any delay in depositing such payments caused by any reason whatsoever.

客戶謹此指示及授權華贏東方 (亞洲) 控股有限公司 (「華贏證券」) 將所有應付客戶之款項存入下列之銀行賬戶。華贏證券將在符合《客戶協議書》之規定及於合理可行的情況下，盡快為客戶把款項存入以下之結算賬戶，華贏證券不會對基於任何原因而延遲存入該款項而令客戶蒙受的任何損失、開支或賠償承擔任何法律責任。

Please provide supporting bank proof, and NO third-party payment 請提供銀行證明，並不接受第三者支付

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 港幣			
USD 美元			
CNY 人民幣			

F. Declaration 聲明

Does any Director/Authorized Signer/Authorized Trader/Beneficial Owner of the Client have any relationship with the director(s) or employee(s) of Solomon or its associated companies

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或其聯營公司之董事或僱員有任何關係?

No 否

Yes 是 (Name 姓名: _____ Relationship 關係: _____)

Is the Client 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 Solomon?

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，而該公司現正持有華贏證券任何相關帳戶?

No 否

Yes 是 (Name of Account Holder. 賬戶持有人姓名: _____ Account No. 賬戶號碼: _____)

G. 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.



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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) agrees to the aforesaid use of my personal data by Solomon.
本公司(客戶)同意華贏證券如上述情況使用本人的個人資料。
- Our Company (the Client) objects 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。

H. 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;



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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人/吾等的客戶識別資訊, 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存儲、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



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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))。

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



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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

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』。
- Our Company (the Client) disagrees to the above Client Consent.** 本公司(客戶)不同意上述『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。**

I. Additional Agreement in respect of transaction relating to Virtual Assets 有關虛擬資產交易之附加協議

(For Apply Virtual Assets Account only 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:-



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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 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



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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;

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；



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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



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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 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》。



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J. 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倉的股份。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。

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。

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。

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。在所有步驟完結後，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



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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賬戶中預先扣除。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賬戶。

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. 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》。

K. 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:



Solomon JFZ (Asia) Holdings Limited 華贏東方 (亞洲) 控股有限公司
Institutional Professional Investor Account Opening Form
機構專業投資者開戶表格

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授受本授權，而不需要向本公司(客戶)負上任何責任或作出任何解釋。



Solomon JFZ (Asia) Holdings Limited 華贏東方 (亞洲) 控股有限公司
Institutional Professional Investor Account Opening Form
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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 個工作天之前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:

- to apply any of the securities or securities collateral pursuant to a securities borrowing and lending agreement;
- to deposit any of the securities collateral with an authorized financial institution as collateral for financial accommodation provided to Solomon; and/or
- 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 repledging 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：



Solomon JFZ (Asia) Holdings Limited 華贏東方 (亞洲) 控股有限公司
Institutional Professional Investor Account Opening Form
機構專業投資者開戶表格

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。

L. Client Declaration 客戶聲明

1. We are a Professional Investor (as defined under the Securities and Futures Ordinance ("SFO") (Cap. 571 of the Laws of Hong Kong), an extract of which is set out in Section D) and agree to be treated as such. We acknowledge and declare that we have read and understood, and accept the contents herein, including the risks and consequences of being treated as a Professional Investor; of our right to withdraw from being treated as a Professional Investor; and of taking independent advice if we wish, and/or that the same has been explained in a language which we understand. We shall inform Solomon immediately if We no longer qualify as a Professional Investor. We agree and acknowledge that Solomon is exempt from the provisions set out in paragraph 15.4 and 15.5 of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission ("Code of Conducts"), unless We instruct otherwise.

1. 我們是證券及期貨條例 (香港法例第571章) 下的專業投資者 (其摘錄載於D章節) 並同意被視為專業投資者。我們已閱讀、明白並接受當中內容，包括被視為專業投資者的風險及後果、被視為專業投資者的撤回權利，以及按照意願接受獨立建議的權利。我們亦確認及聲明我們通過一種我們明白的語言得到以上的解釋，如我們不再符合專業投資者資格，我們將立即通知華贏證券。除非我們另有指示，我們同意並承認華贏證券可以豁免遵從《證券及期貨事務監察委員會持牌人或註冊人操守準則》("操守準則") 中第15.4及15.5段所載的條文。

2. We agree to open accounts listed in Section A1 herein ("Account") with Solomon and are 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"). We have already been advised by Solomon to seek independent legal advice for All Those Terms. We agree that Solomon can request us to sign any documents as required under the above said terms and conditions. Before opening the Account with Solomon, we have fully read and understood the contents of All Those Terms and we agree, accept and confirm all its provisions and agree and accept to be bound by All Those Terms.



Solomon JFZ (Asia) Holdings Limited 華贏東方 (亞洲) 控股有限公司
Institutional Professional Investor Account Opening Form
機構專業投資者開戶表格

2. 我們同意遵守開戶表及《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」)。華贏證券已經建議我們對上述之該等條款尋求獨立法律意見。我們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。我們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，我們並同意、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。

3. We hereby acknowledge and confirm that we have 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"). We acknowledge and confirm that the contents and effects of the Relevant Standing Authority have been explained to us, and the Client fully understand: - (i) the contents and effects of the Relevant Standing Authority; and (ii) we hereby authorize 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 holding one account only.

3. 我們謹此知悉及確認，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。我們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) 我們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。

4. We agree that according to the FATCA ("Foreign Account Tax Compliance Act"), Solomon JFZ (Asia) Holdings Limited 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.

4. 我們同意根據「海外賬戶稅收遵從法」("FATCA")，華贏東方(亞洲)控股有限公司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。

5. We declare and confirm that all the information provided in this Account Opening Form is true, complete and correct and authorize Solomon to confirm this from any source and we shall immediately inform Solomon of any change of the aforesaid information.



Solomon JFZ (Asia) Holdings Limited 華贏東方 (亞洲) 控股有限公司
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5. 我們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。我們承諾，如上述資料有任何變更，我們必須立刻通知華贏證券。

6. We hereby declare that after signing in the signature column herein below by myself (the Client), indicated that we 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"), we have already sought independent legal advice and have also understood all the contents and provisions and have no questions to ask. In the event that there is any inconsistency between the English version and the Chinese version of All Those Terms, the English version shall prevail.

6. 我們茲聲明，當我們於下列簽署欄內簽署後，即表示我們已完全細閱、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》等聲明內的所有條款)。關於上述所有內容和細則，我們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。該等條款之中文版本及英文版本如有任何不符，以英文版本為準。

授權人簽署並蓋公司章

Signature of Authorized Person with Company Chop

授權簽署人姓名

Name of Authorized Person _____

公司名稱

Company Name _____

簽署日期

Sign Date _____

WITNESS 見證

I, the undersign, have verified the identity and witnessed the signature(s) of the applicant(s) on this Form.
本人，下簽署人，特此確認本人已核證本開戶表申請人的身份及見證其簽署。

* Professionals of Witness : 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：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。

見證人姓名

Name of Witness _____

見證人簽署

Signature of Witness _____

專業資格及註冊號碼

Qualification and Registration No _____

簽署日期

Sign Date _____



Solomon JFZ (Asia) Holdings Limited 華贏東方 (亞洲) 控股有限公司
Institutional Professional Investor Account Opening Form
機構專業投資者開戶表格

For Office use only

只供本公司使用

Assessment Result 評估結果	<input type="checkbox"/> Not approved for being treated as a Professional Investor 不獲批准被視為專業投資者
	<input type="checkbox"/> Approved for being treated as an Institutional Professional Investor (exempt from the provisions set out in paragraph 15.4 and 15.5 of SFC Code of Conduct) 批准被視為機構專業投資者 (豁免遵從香港證監會操守準則第 15.4及15.5 段所列明的條文)

Document and Client Information checked by 負責檢查文件及客戶資料的員工:

Name 姓名: _____

Signature 簽署: _____ Date 日期: _____

Accepted and Approved by 接受及批准:

Name of Duly authorized responsible officer 正式授權負責人員姓名: _____

Signature of Duly authorized responsible officer 正式授權負責人員簽署: _____

CE No. 中央編號: _____

Date 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:				



Solomon JFZ (Asia) Holdings Limited 華贏東方 (亞洲) 控股有限公司
Institutional Professional Investor Account Opening Form
機構專業投資者開戶表格

所需資料 Required Documents

香港註冊公司 Company Incorporated in Hong Kong

公司類型: 金融機構

Type of Corporate: Financial Institution

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

- 01. 商業登記證/公司註冊證
Business Registration Certificate/Certificate of Incorporation (CI)
- 02. 公司組織及章程 (最新版)
Memorandum and Articles of Association (Latest Version)
- 03. 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)
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
- 04. 經公司董事簽署確認的股權架構圖 (最新版)
Ownership Chart Certified by a director (Latest Version)
- 05. 監管機構牌照證明
Proof of document for regulated institution
- 06. 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)
Proof of business address issued within the recent 3 months (if different from the registered address and P.O. Box is not acceptable)
- 07. 公司銀行戶口證明/常設交收指示
The company's Bank Account Statement / Standard Settlement Instruction ("SSI")
- 08. 所有擁有25%或以上投票權的董事、股東及獲授權人的有效身份證和/或護照
ID/Passport of ALL Directors, ALL Authorized Persons & Shareholders holding 25% or more of the voting rights or share capital
- 09. 所有擁有25%或以上投票權的董事、股東及獲授權人的位址證明 (最近3個月內有效)
Address Proof (within 3 months) of ALL Directors, ALL Authorized Persons & Shareholders holding 25% or more of the voting rights or share capital
- 10. 最近財政年度已經審核之帳目 (如開立公司名義賬戶)
Audited Financial Statement (last fiscal year) (for House Account)
- 11. 核證人專業資格證明 (如有)
Proof of Certifier's Professional Qualification (If any)



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所需資料 Required Documents

香港註冊公司 Company Incorporated in Hong Kong

公司類型: 金融機構

Type of Corporate: Financial Institution

12. 對於股權結構中有多層的公司，如有需要，我們有權要求閣下提供額外文件。

For companies with multiple layers in their ownership structures, we shall have the right to request additional documents if necessary.

** 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。

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

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

01. 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)

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

02. 自我證明表格-實體 及/或 自我證明表格-控權人(如適用)

Self-certification form – Entity, and/or Self-certification Form - Controlling Person (If applicable)

03. W8-BEN-E 表格 (公司名義賬戶) / W-8IMY表格 (客戶名義賬戶)

Form W8-BEN-E (for House Account) / Form W-8IMY (for Client Account)

04. 防止洗黑錢信件及防止洗黑錢風險評估問卷

Anti-Money Laundering Letter and Questionnaire

05. 盡職調查問卷

Due Diligence Questionnaire

06. 電子交易服務協議書-直接市場訪問(如適用)

Electronic Trading Services Agreement-Direct Market Access (If applicable)



Solomon JFZ (Asia) Holdings Limited 華贏東方 (亞洲) 控股有限公司
Institutional Professional Investor Account Opening Form
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所需資料 Required Documents

海外公司 Company Incorporated in Foreign Country

公司類型: 金融機構

Type of Corporate: Financial Institution

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

- 01. 公司註冊證書及其它註冊證明
Certificate of Incorporation (CI) / Other evidence of due incorporation
- 02. 公司更改名稱證明書 (如有)
Certificate of Change of Name (If any)
- 03. 當地註冊代理人簽發的職權證明書 (包括良好記錄證明) - 六個月發出
Certificate of Incumbency (including proof of Good Standing status) – issued within six months
- 04. 公司組織及章程 (最新版)
Memorandum and Articles of Association (Latest Version)
- 05. 董事委任名冊
Register of Directors
- 06. 股東名冊
Register of Members/Shareholders
- 07. 經公司董事簽署確認的股權架構圖 (最新版)
Ownership Chart Certified by a director (Latest Version)
- 08. 監管機構牌照證明
Proof of document for regulated institution
- 09. 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)
Proof of business address issued within the recent 3 months (if different from the registered address and P.O. Box is not acceptable)
- 10. 公司銀行戶口證明/常設交收指示
The company's Bank Account Statement / Standard Settlement Instruction ("SSI")
- 11. 所有擁有25%或以上投票權的董事、股東及獲授權人的有效身份證和/或護照
ID/Passport of ALL Directors, ALL Authorized Persons & Shareholders holding 25% or more of the voting rights or share capital
- 12. 所有擁有25%或以上投票權的董事、股東及獲授權人的位址證明 (最近3個月內有效)
Address Proof (within 3 months) of ALL Directors, ALL Authorized Persons & Shareholders holding 25% or more of the voting rights or share capital



Solomon JFZ (Asia) Holdings Limited 華贏東方 (亞洲) 控股有限公司
Institutional Professional Investor Account Opening Form
機構專業投資者開戶表格

所需資料 Required Documents

海外公司 Company Incorporated in Foreign Country

公司類型: 金融機構

Type of Corporate: Financial Institution

13. 最近財政年度已經審核之帳目 (如開立公司名義賬戶)
Audited Financial Statement (last fiscal year) (for House Account)
14. 核證人專業資格證明 (如有)
Proof of Certifier's Professional Qualification (If any)
15. 對於股權結構中有多層的公司, 如有需要, 我們有權要求閣下提供額外文件。
For companies with multiple layers in their ownership structures, we shall have the right to request additional documents if necessary.

** 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。

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

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

01. 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)
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
02. 自我證明表格-實體 及/或 自我證明表格-控權人(如適用)
Self-certification form – Entity, and/or Self-certification Form - Controlling Person (If applicable)
03. W8-BEN-E 表格 (公司名義賬戶) / W-8IMY表格 (客戶名義賬戶)
Form W8-BEN-E (for House Account) / Form W-8IMY (for Client Account)
04. 防止洗黑錢信件及防止洗黑錢風險評估問卷
Anti-Money Laundering Letter and Questionnaire
05. 盡職調查問卷
Due Diligence Questionnaire
06. 電子交易服務協議書-直接市場訪問 (如適用)
Electronic Trading Services Agreement-Direct Market Access (If applicable)