

東海國際證券（香港）有限公司
Donghai International Securities (Hong Kong) Limited

ACCOUNT APPLICATION
(Individual/Joint Account)
交易戶口申請書(個人/聯名戶口)

Client Name 客戶姓名:

Account No. 客戶戶口號碼:

Account Executive No. 客戶經紀代碼:

Registered Office: 20/F., Shanghai Commercial Bank Tower, 12 Queen's Road Central, Central, Hong Kong.

註冊辦事處: 香港中環皇后大道中 12 號上海商業銀行大廈 20 樓

Tel. No. 電話號碼: (852) 3181-9500

Fax No. 傳真號碼: (852) 3181-9579

Website 網址: ([Http://www.longone.com.hk](http://www.longone.com.hk))

Donghai International Securities (Hong Kong) Limited is a licensed corporation for Type 1 regulated activities under the Securities and Futures Ordinance (CE Number: BGV506).

東海國際證券(香港)有限公司乃一家根據《證券及期貨條例》獲發牌進行受規管活動第一類的持牌法團

(中央編號: BGV506)。

Account Application Guide

交易戶口申請書須知

Note: This is an important document. Client should carefully read and fully understand the contents of this Account Application and the terms and conditions of the Client Agreement (as attached) ("Client Agreement") in respect of Donghai International Securities (Hong Kong) Limited ("DHISHK"), and seek independent legal or other professional advice as necessary before signing the Account Application or related documents. In case of discrepancies between the English and Chinese versions of this Account Application and the terms and conditions set out herein, the English version shall prevail.

註: 這是重要的文件。客戶應仔細閱讀並充分理解本交易戶口申請書的內容及東海國際證券(香港)有限公司("東海國際證券")客戶協議書(見如附件) ("客戶協議書")的條款,並在簽署本戶口申請書或相關文件前,徵求獨立法律或(如需要)其他專業意見。倘若本交易戶口申請書及其條款的中英文文本有不相符之處,概以英文文本為準。

(Please choose the appropriate 請選擇合適者)

Please provide 請提供:

- ☐ Certified True Copy of Hong Kong Identity Card/Passport of Client
經認證客戶之香港身份證/護照副本
- ☐ Certified True Copy of Residential Address Proof within 3 months (e.g. utility bill, bank account statement, bank credit card statement, telephone bill)
經認證三個月內之住址證明(如:水電煤費帳單、銀行月結單、信用卡月結單、通訊電話帳單)

TYPE OF ACCOUNT 戶口種類	
<input type="checkbox"/> Individual Account 個人戶口	<input type="checkbox"/> Cash Securities Trading Account 現金證券交易戶口
<input type="checkbox"/> Joint Account 聯名戶口	<input type="checkbox"/> Margin Securities Trading Account 保證金證券交易戶口
Service 服務	
<input type="checkbox"/> Electronic Trading Service 電子交易服務	<input type="checkbox"/> US Stock Trading Service 美股交易服務

SECTION A CLIENT PARTICULARS 客戶資料

Individual Applicant /Primary Applicant for the Joint Account 個人申請人/聯名戶口主要申請人				
Name (in English, Surname first) 姓名(英文,先寫姓氏)			Name (in Chinese) 姓名(中文)	
Date of Birth 出生日期	Gender 性別 <input type="checkbox"/> M/男 <input type="checkbox"/> F/女	Nationality 國籍	ID/ Passport No. 身分證/護照號碼	Place of Birth 出生地
Residential Telephone No. 住宅電話號碼		Mobile Phone No. 流動電話號碼		Other Instant Messenger 其他通訊軟體
Email Address 電子郵件地址			Marital Status 婚姻狀況 <input type="checkbox"/> Single 未婚 <input type="checkbox"/> Divorced 離婚 <input type="checkbox"/> Married 已婚 <input type="checkbox"/> Widowed 喪偶	
Residential Address 住宅地址 _____ _____				
<input type="checkbox"/> Owned 自置 <input type="checkbox"/> Mortgaged 按揭 <input type="checkbox"/> Rented 租用 <input type="checkbox"/> Living with relative 與親屬同住 <input type="checkbox"/> Company quarters 公司宿舍 <input type="checkbox"/> Other 其他_____				
Correspondence address (if different from residential address) 通訊地址(如與住宅地址不同)				
Education Level 教育程度 <input type="checkbox"/> Primary 小學 <input type="checkbox"/> Secondary 中學 <input type="checkbox"/> Tertiary 大專 <input type="checkbox"/> University 大學 <input type="checkbox"/> Postgraduate or above 碩士或以上				
Employment Status 就業情況 <input type="checkbox"/> Fulltime Employed 全職 <input type="checkbox"/> Part-time Employed 兼職 <input type="checkbox"/> Retired 退休 <input type="checkbox"/> Self-employed 自僱 <input type="checkbox"/> Other 其他_____				
Name of Employer 僱主名稱		Nature of business 業務性質		Year(s) employed 受僱年期
Position 職位		Business Phone No. 公司電話		Fax No. 傳真電話

Financial Profile 財務概況		
Annual Income (HKD\$) 每年收入 (以港元計)		
<input type="checkbox"/> Less than 少於 200,000	<input type="checkbox"/> 200,000 - 500,000	<input type="checkbox"/> 500,001 – 1,000,000
<input type="checkbox"/> 1,000,001 – 2,000,000	<input type="checkbox"/> 2,000,001 – 5,000,000	<input type="checkbox"/> Over 多於 5,000,000
Net Assets (HKD\$) 資產淨值 (以港元計)		
<input type="checkbox"/> Less than 少於 500,000	<input type="checkbox"/> 500,000 – 1,000,000	<input type="checkbox"/> 1,000,001 – 3,000,000
<input type="checkbox"/> 3,000,001 – 8,000,000	<input type="checkbox"/> 8,000,001 – 40,000,000	<input type="checkbox"/> Over 多於 40,000,000
Investment Experience 投資經驗		
Investment Experience 投資經驗		
<input type="checkbox"/> Equities 證券 _____ years 年 <input type="checkbox"/> Hedge Funds 對沖基金 _____ years 年 <input type="checkbox"/> Leveraged Forex/ Bullion 槓桿式外匯交易/ 黃金 _____ years 年 <input type="checkbox"/> Commodities/ Futures 商品/期貨 _____ years 年 <input type="checkbox"/> Mutual Fund/ Unit Trust 互惠基金/ 單位信託基金 _____ years 年 <input type="checkbox"/> Options/ Warrants/ Structured Products/ Others 期權/ 窩輪/ 結構性產品/ 其他 _____ years 年		
Investment Objectives 投資目標		
<input type="checkbox"/> Capital appreciation 資本增值	<input type="checkbox"/> Dividend yield 股息回報	<input type="checkbox"/> Hedging 對沖
<input type="checkbox"/> Speculation 投機	<input type="checkbox"/> Others 其他 _____	
Knowledge of Derivatives 衍生性產品的認識		
<input type="checkbox"/> I have attended relevant courses or seminars on structured and or derivative product(s) 我曾接受有關結構性及或衍生產品的培訓或修讀相關課程? Please provide details of relevant courses or seminars 請提供培訓或修讀課程之詳情 _____		
<input type="checkbox"/> My current or previous work experience been related to structured or derivative products(s) 我現時或以往的工作經驗與結構性或衍生產品有關 Position 職位: _____ Years of experience 經驗年期: _____ Other information 其他資料: _____		
<input type="checkbox"/> I have trading experience in structured or derivative product(s) 我以往曾有買賣結構性或衍生產品的經驗 <div style="display: flex; justify-content: space-between;"> <div> <input type="checkbox"/> Callable Bull/Bear Contracts (CBBC) 牛熊證 <input type="checkbox"/> Equity Linked Instruments / Notes (ELI/ELN) 股票掛鉤產品 <input type="checkbox"/> Exchange Traded Convertible Bonds 交易所買賣換股債券 <input type="checkbox"/> Futures and Options 期貨或期權合約交易 <input type="checkbox"/> Others 其他 : _____ </div> <div> <input type="checkbox"/> Derivative Warrants 衍生認股證 <input type="checkbox"/> Exchange Traded Funds 交易所買賣基金 <input type="checkbox"/> Rights 供股權 <input type="checkbox"/> Stock Options 股票期權 </div> </div>		
<input type="checkbox"/> I have executed five or more than five transactions in any structured or derivative product(s) (whether traded on an Exchange or not) within the past three years? 我曾在過去三年執行過五次或以上有關任何結構性或衍生產品的交易(不論是否在交易所買賣)的交易		
<input type="checkbox"/> I/ We hereby declare that I/ We understand the nature and risks of derivative products which is explained by DHISHK in a language of my/our choice (English or Chinese) and I/ We assure to have sufficient net worth to be able to assume the risks and bear the potential losses of trading in the products. 本人/我們就此聲明東海國際證券已按照本人/我們選擇的語言(中文或英文)解釋衍生產品的性質和風險，本人/我們承諾有足夠的淨資產來承擔因買賣該產品而可能招致的風險和損失。		
Client Identification Disclosure 客戶身份披露		
U.S. citizen or Qualified U.S. resident ^(*) Holds permanent or U.S. Residency (Green Card) 請直接刪除 GreenCard， 美國公民或通過居留測試之美國稅務居民 ^(*) 或持有美國永久居民身分證(綠卡) <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 (If yes, please provide Taxpayer Identification Number 如果是，請提供稅務編號: _____)		
Are you the employee of a SFC's licensed or registered person? 您是否證監會持牌或註冊人的僱員? <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 (If yes, please specify name of employer 如果是，請列明公司名稱 _____)		
Are you or your relatives currently employed by our company? 您或親屬是否現受僱於本公司? <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 (If yes, please specify name and relationship 如果是，請列明該僱員姓名及關係 _____)		
Have you been arrested/tried/sentenced/disciplined for illegal activities or violating regulatory requirements? 您是否曾經涉及 違法或違反監管守則而被捕/受審/被判刑/被紀律處分? <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否		
Are you a holder of senior public positions of foreign countries e.g. senior government officials, political party leaders, religious leaders, etc. or their family members? 是否外國之公眾人物，例如：政府高官、政黨領袖、宗教領袖等或其家人? <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否		
* Refers to working, living or studying in the U.S., staying at least 31 days during the current year, and 183 days during the 3-year period that includes the current year and the 2 years immediately before that, counting: all the days you were present in the current year, and 1/3 of the days you were present in the first year before the current year, and 1/6 of the days you were present in the second, to be considered a U.S. resident for tax purposes * 指在美國工作/居住/求學，本年度在美國境內停留天數≥31 天，且(本年在美國境內停留天數*1+去年在美國境內 停留天數*1/3+前年在美國境內 停留天數*1/6)≥183 天者，即為美國稅務居民。		

Ultimate Beneficiary 最終實益持有人	
Is the Client the ultimate beneficiary of the Account? 客戶是否為戶口最終實益持有人?	
<input type="checkbox"/> No 否 (please specify details of the ultimate beneficiary 請列明最終實益持有人的詳細資料 Name 姓名: _____ Birthday 出生日期: _____ <input type="checkbox"/> Yes 是 ID/ Passport No./ Certificate of Incorporation No. 身分證/ 護照/ 公司註冊證書號碼 _____ Address 地址: _____ (Please provide the certified true copy of Hong Kong Identity Card or Passport and Residential Address Proof of ultimate beneficiary) (請提供所有最終實益持有之香港身份證或護照或公司註冊證書經認證真確副本及住宅地址證明)	
Instruction Originator Declaration 指示發出人聲明	
Is the Client ultimately responsible for originating the instruction in relation to a transaction? 客戶是否為戶口最終負責作出交易指示的人士?	
<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 please complete the Letter of Authorisation (see attached Form 1) 請填寫授權書 (見附表一)	
SECTION B RELATED MARGIN CLIENT 關連保證金客戶 (FOR MARGIN SECURITIES TRADING ACCOUNT ONLY) (只適用於保證金證券交易戶口)	
Is your spouse currently maintaining Account with our company? 您的配偶是否在本公司開有帳戶? (If yes, please specify 如果是, 請列明帳號 _____)	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
Are you, either alone or with your spouse, in control of 35% or more of the issued shares of any client of Donghai International Securities (Hong Kong) Limited? 您是否個人或與您的配偶共同控制任何東海國際證券的客戶 35% 以上的股權? (If yes, please specify 如果是, 請列明帳號 _____)	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否

Other Applicant for the Joint Account 聯名戶口其他申請人				
Name (in English, Surname first) 姓名 (英文, 先寫姓氏)			Name (in Chinese) 姓名 (中文)	
Date of Birth 出生日期	Gender 性別 <input type="checkbox"/> M/男 <input type="checkbox"/> F/女	Nationality 國籍	ID/ Passport No. 身分證/ 護照號碼	Place of Birth 出生地
Residential Telephone No. 住宅電話號碼		Mobile Phone No. 流動電話號碼		Other Instant Messenger 其他通訊軟體
Email Address 電子郵件地址			Marital Status 婚姻狀況 <input type="checkbox"/> Single 未婚 <input type="checkbox"/> Divorced 離婚 <input type="checkbox"/> Married 已婚 <input type="checkbox"/> Widowed 喪偶	
Relationship between Primary Client and Joint Client (for joint account) 客戶與聯名客戶的關係 (聯名帳戶適用)				
Residential Address 住宅地址 _____ _____				
<input type="checkbox"/> Owned 自置 <input type="checkbox"/> Mortgaged 按揭 <input type="checkbox"/> Rented 租用 <input type="checkbox"/> Living with relative 與親屬同住 <input type="checkbox"/> Company quarters 公司宿舍 <input type="checkbox"/> Other 其他_____				
Correspondence address (if different from residential address) 通訊地址 (如與住宅地址不同)				
Education Level 教育程度 <input type="checkbox"/> Primary 小學 <input type="checkbox"/> Secondary 中學 <input type="checkbox"/> Tertiary 大專 <input type="checkbox"/> University 大學 <input type="checkbox"/> Postgraduate or above 碩士或以上				
Employment Status 就業情況 <input type="checkbox"/> Fulltime Employed 全職 <input type="checkbox"/> Part-time Employed 兼職 <input type="checkbox"/> Retired 退休 <input type="checkbox"/> Self-employed 自僱 <input type="checkbox"/> Other 其他_____				
Name of Employer 僱主名稱		Nature of business 業務性質		Year(s) employed 受僱年期
Position 職位		Business Phone No. 公司電話		Fax No. 傳真電話
<u>Financial Profile 財務概況</u> Annual Income (HKD\$) 每年收入 (以港元計) <input type="checkbox"/> Less than 少於 200,000 <input type="checkbox"/> 200,000 - 500,000 <input type="checkbox"/> 500,001 - 1,000,000 <input type="checkbox"/> 1,000,001 - 2,000,000 <input type="checkbox"/> 2,000,001 - 5,000,000 <input type="checkbox"/> Over 多於 5,000,000 Net Assets (HKD\$) 資產淨值 (以港元計) <input type="checkbox"/> Less than 少於 500,000 <input type="checkbox"/> 500,000 - 1,000,000 <input type="checkbox"/> 1,000,001 - 3,000,000 <input type="checkbox"/> 3,000,001 - 8,000,000 <input type="checkbox"/> 8,000,001 - 40,000,000 <input type="checkbox"/> Over 多於 40,000,000				
<u>Investment Experience 投資經驗</u> Investment Experience 投資經驗 <input type="checkbox"/> Equities 證券_____ years 年 <input type="checkbox"/> Hedge Funds 對沖基金_____ years 年 <input type="checkbox"/> Leveraged Forex/ Bullion 槓桿式外匯交易/ 黃金_____ years 年 <input type="checkbox"/> Commodities/ Futures 商品/期貨_____ years 年 <input type="checkbox"/> Mutual Fund/ Unit Trust 互惠基金/ 單位信託基金_____ years 年 <input type="checkbox"/> Options/ Warrants/ Structured Products/ Others 期權/ 窩輪/ 結構性產品/ 其他_____ years 年 Investment Objectives 投資目標 <input type="checkbox"/> Capital appreciation 資本增值 <input type="checkbox"/> Dividend yield 股息回報 <input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Speculation 投機 <input type="checkbox"/> Others 其他_____				

Knowledge of Derivatives 衍生性產品的認識	
<input type="checkbox"/>	<p>I have attended relevant courses or seminars on structured and or derivative product(s) 我曾接受有關結構性及或衍生產品的培訓或修讀相關課程?</p> <p>Please provide details of relevant courses or seminars 請提供培訓或修讀課程之詳情</p> <hr/>
<input type="checkbox"/>	<p>My current or previous work experience been related to structured or derivative products(s) 我現時或以往的工作經驗與結構性或衍生產品有關</p> <p>Position 職位: _____ Years of experience 經驗年期: _____</p> <p>Other information 其他資料: _____</p>
<input type="checkbox"/>	<p>I have trading experience in structured or derivative product(s) 我以往曾有買賣結構性或衍生產品的經驗</p> <div style="display: flex; justify-content: space-between;"> <div style="width: 48%;"> <input type="checkbox"/> Callable Bull/Bear Contracts (CBBC) 牛熊證 <input type="checkbox"/> Equity Linked Instruments / Notes (ELI/ELN) 股票掛鉤產品 <input type="checkbox"/> Exchange Traded Convertible Bonds 交易所買賣換股債券 <input type="checkbox"/> Futures and Options 期貨或期權合約交易 <input type="checkbox"/> Others 其他 : _____ </div> <div style="width: 48%;"> <input type="checkbox"/> Derivative Warrants 衍生認股證 <input type="checkbox"/> Exchange Traded Funds 交易所買賣基金 <input type="checkbox"/> Rights 供股權 <input type="checkbox"/> Stock Options 股票期權 </div> </div>
<input type="checkbox"/>	<p>I have executed five or more than five transactions in any structured or derivative product(s) (whether traded on an Exchange or not) within the past three years? 我曾在過去三年執行過五次或以上有關任何結構性或衍生產品的交易(不論是否在交易所買賣)的交易</p>
<input type="checkbox"/>	<p>I/ We hereby declare that I/ We understand the nature and risks of derivative products which is explained by DHISHK in a language of my/our choice (English or Chinese) and I/ We assure to have sufficient net worth to be able to assume the risks and bear the potential losses of trading in the products. 本人/我們就此聲明東海國際證券已按照本人/我們選擇的語言(中文或英文)解釋衍生產品的性質和風險，本人/我們承諾有足夠的淨資產來承擔因買賣該產品而可能招致的風險和損失。</p>
Client Identification Disclosure 客戶身份披露	
<p>U.S. citizen or Qualified U.S. resident^(*)Holds permanent or U.S. Residency (Green Card)請直接刪除 Green Card 的表示方式 美國公民或通過居留測試之美國稅務居民^(*)或持有美國永久居民身分證(綠卡) (If yes, please provide Taxpayer Identification Number 如果是，請提供稅務編號:_____)</p> <p style="text-align: right;"><input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否</p> <p>Are you the employee of a SFC's licensed or registered person? 您是否證監會持牌或註冊人的僱員? (If yes, please specify name of employer 如果是，請列明公司名稱_____)</p> <p style="text-align: right;"><input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否</p> <p>Are you or your relatives currently employed by our company? 您或親屬是否現受僱於本公司? (If yes, please specify name and relationship 如果是，請列明該僱員姓名及關係_____)</p> <p style="text-align: right;"><input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否</p> <p>Have you been arrested/tried/sentenced/disciplined for illegal activities or violating regulatory requirements? 您是否曾經涉及違法或違反監管守則而被捕/受審/被判刑/被紀律處分?</p> <p style="text-align: right;"><input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否</p> <p>Are you a holder of senior public positions of foreign countries e.g. senior government officials, political party leaders, religious leaders, etc. or their family members? 是否外國之公眾人物，例如：政府高官、政黨領袖、宗教領袖等或其家人?</p> <p style="text-align: right;"><input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否</p> <p><small>* Refers to working, living or studying in the U.S., staying at least 31 days during the current year, and 183 days during the 3-year period that includes the current year and the 2 years immediately before that, counting: all the days you were present in the current year, and 1/3 of the days you were present in the first year before the current year, and 1/6 of the days you were present in the second, to be considered a U.S. resident for tax purposes * 指在美國工作/居住/求學，本年度在美國境內停留天數≥31 天，且(本年在美國境內停留天數*1+去年在美國境內 停留天數*1/3+前年在美國境內 停留天數*1/6)≥183 天者，即為美國稅務居民。</small></p>	
Ultimate Beneficiary 最終實益持有人	
<p>Is the Client the ultimate beneficiary of the Account? 客戶是否為戶口最終實益持有人?</p> <p><input type="checkbox"/> No 否 (please specify details of the ultimate beneficiary 請列明最終實益持有人的詳細資料 Name 姓名: _____ Birthday 出生日期: _____ ID/ Passport No./ Certificate of Incorporation No. 身分證/ 護照/ 公司註冊證書號碼 _____ Address 地址: _____ (Please provide the certified true copy of Hong Kong Identity Card or Passport and Residential Address Proof of ultimate beneficiary) (請提供所有最終實益持有人的香港身份證或護照或公司註冊證書經認證真確副本及住宅地址證明)</p> <p><input type="checkbox"/> Yes 是</p>	

Specimen Signature and Signing Instruction 簽署樣式及規則 (For Joint Account Only 聯名戶口適用)			
EITHER ONE / BOTH of the following Signature(s) valid 任何一式/ 兩式簽署生效 (Please delete as appropriate 請刪去不適用者)			
1. _____	2. _____		
Name 姓名：	Name 姓名：		

SECTION B RELATED MARGIN CLIENT 關連保證金客戶 (FOR MARGIN SECURITIES TRADING ACCOUNT ONLY) (只適用於保證金證券交易戶口)
<p>Is your spouse currently maintaining Account with our company? 您的配偶是否在本公司開有帳戶? <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 (If yes, please specify 如果是，請列明帳號 _____)</p> <p>Are you, either alone or with your spouse, in control of 35% or more of the issued shares of any client of Donghai International Securities (Hong Kong) Limited? 您是否個人或與您的配偶共同控制任何東海國際證券的客戶 35% 以上的股權? <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 (If yes, please specify 如果是，請列明帳號 _____)</p>

SECTION C OTHER INFORMATION 其他資料			
Designated Bank Account For Payment 指定收款銀行戶口			
Please pay the money received on my/our behalf into the following bank account opened in my/our own name upon my request. 請在本人要求時將為本人/我們代收的款項轉帳到下列以本人/我們名義開設的銀行帳戶。			
Name of Bank 銀行名稱	Bank Account No. 銀行帳戶號碼	Country of Receiving Bank 收款銀行所在國家:	
Branch Name/ Address 分行名稱/ 地址	SWIFT Code 國際匯款代碼 (if overseas 如在海外)	Currency 幣別	

Correspondence Address 通訊地址 (Including but not limited to correspondence, password and forwarding of daily/monthly statements and trade confirmations 包含但不限於通訊、密碼及轉達日/月結單及交易核實資料書的地址)			
Recipient 收件人 (choose one only 只可選一項)	<input type="checkbox"/> Individual applicant/Primary applicant for the joint account 個人申請人/聯名戶口主要申請人	<input type="checkbox"/> Other applicant for the joint account 聯名戶口其他申請人	
Address 地址 (choose one only 只可選一項)	<input type="checkbox"/> Residential address 住宅地址	<input type="checkbox"/> Business/Office address 營業/辦公地址	<input type="checkbox"/> E-mail address 電郵地址

SECTION D ELECTRONIC TRADING SERVICE 電子交易服務	
<p>I/we confirm my understanding of the risks associated with the electronic trading services and the use of the Service set out in the Client Agreements and Schedules, and hereby accept and agree to be bound by it. <input type="checkbox"/> 本人/我們明白電子交易系統及使用客戶協議書裡列明但不限於的電子交易服務存在一定風險，並接受及同意受其約束。</p>	

Client's Declaration for Data Protection 客戶個人資料保障聲明	
<p>Donghai International Securities Hong Kong Limited ("DHISHK") intends to use your personal data in direct marketing which requires your consent. By signing this account opening form, you agree to receive promotional and direct marketing information from DHISHK in respect of financial, insurance, securities, investment services and products DHISHK may offer. You further agree that DHISHK may share your personal data with its group companies for marketing purposes. You understand that DHISHK and its group companies may, from time to time, engage third parties to provide marketing services.</p> <p>東海國際證券(香港)有限公司("東海國際證券")擬使用閣下的個人資料作直接促銷，為此須取得閣下的同意。通過簽署此開戶申請表格，你同意東海國際證券向你發放關於財務、保險、證券、投資的服務和產品的推廣資料。你亦同意東海國際證券與其集團公司分享閣下的個人資料作行銷用途。你亦明白東海國際證券和或其聯繫公司可不時聘請第三方代表他們提供行銷服務。</p> <p><input type="checkbox"/> I/We DO NOT AGREE (please tick if applicable) to the use or transfer of my/our personal data for direct marketing purposes. 本人/我們不同意 (請於方格內加上「✓」如適用) 本人/我們 的個人資料被使用或與之有關的轉移作為直接促銷之用途。</p> <p>At any time in the future, Client may inform DHISHK if Client wishes to opt-out of the use of his/her personal data for any of the direct marketing purposes. For details, please refer to the Personal Information Collection Statement of the Clients Agreements and Schedules. 在將來任何情況下，如客戶不欲收到任何東海國際證券之服務或產品宣傳或直銷推廣，可聯絡我們並要求加入拒收推廣訊息名單。詳情請參閱客戶協議書的個人資料收集聲明。</p>	

SECTION E ACKNOWLEDGMENT AND DECLARATION 確認及聲明**Declaration 聲明**

I/ We declare and represent that the information provided on or with this Account Application is true, accurate complete and up to date that DHISHK is entitled to rely fully on such information and representations for all purposes, unless DHISHK receive(s) notice in writing of any change. DHISHK is authorised at any time to contact anyone, including banks, brokers or any credit agency, for purposes of verifying the information provided on or with this Account Application.

本人/我們聲明及確認本戶口申請書上提供及隨附的資料皆為屬實、真確、完整及最新的。除非東海國際證券接獲客戶以書面通知的任何變更，否則有權完全依賴此等資料及聲明作一切用途。此外，東海國際證券亦獲授權在任何時間聯絡任何人士（包括銀行、經紀或任何信貸機構），以確定本戶口申請書上提供及隨附的資料。

I/ We undertakes to notify DHISHK promptly, and in any event, within 30 days of any change in his/her address or other material change in the information provided in this Account Application or the Agreements. Furthermore, the Undersigned Client(s) undertakes to inform DHISHK of any subsequent appointment, change, revocation or removal of an Authorised Person (if any).

本人/我們承諾在地址更改或其他本戶口申請書上的資料發生轉變的 30 天內，及時通知東海國際證券。再者，客戶承諾以書面知會東海國際證券有關授權人士往後的任何委任、變更、撤銷或免任，並明白及接納該知會必須以書面通知東海國際證券

I/We, the undersigned Client(s), have read and understood the provisions of the attached current version of the Agreements of which this document forms a part. I/We hereby apply to open one or more of the above type(s) of account and agree to be bound by the Agreements (receipt of a copy whereof is hereby acknowledged by me/us) including its Standard Terms and Conditions and relevant Schedule(s) as the same may be amended or supplemented from time to time. I/We acknowledge and confirm that DHISHK has provided the Risk Disclosure Statements annexed hereto in a language of my/our choice (English or Chinese) and I/we have been invited to read the Risk Disclosure Statements, to ask questions and take independent advice if I/we wish.

本人/我們，下述簽署客戶/聯名客戶，已閱讀過及明白附上的東海國際證券最新版本的客戶協議書（“該協議書”）而本文件乃該協議書的一部份。本人/我們現申請開立上述類別的一個或多個帳戶，並同意受可不時被修改或補充的該協議書（謹此聲明本人/我們已收妥其副本）包括其標準條款及細則及有關的附表所約束。本人/我們確認東海國際證券已按照本人/我們選擇的語言（中文或英文）獲提供附於本表格的風險披露聲明，及已獲邀閱讀該風險披露聲明、提出問題及徵求獨立的意見（如本人/我們有此意願）。

Primary Signature 客戶簽署

Date 日期:

Joint Client Signature 聯名客戶簽署

Date 日期:

Declaration From DHISHK's Employee

I/We, DHISHK representative(s), hereby declare and confirm that 本人/我們為東海國際證券的註冊職員，並謹此聲明及確認

the above Client / Joint Client signature(s) was / were made in my / our presence

☐ 以上客戶/聯名客戶簽署乃於本人/我們面前簽立。

I/we have also provided the Risk Disclosure Statements annexed hereto in a language of the Client's choice (English or Chinese) and invited the Client / Joint Client to read the Risk Disclosure Statements, ask questions and take independent advice if the Client / Joint Client wishes.

☐ 本人/我們亦已按照上述客戶/聯名客戶所選擇的語言（中文或英文）提供附於本表的風險披露聲明及邀請客戶閱讀該風險披露聲明、提出問題及徵求獨立的意見（如客戶/聯名客戶有此意願）。

Signature of DHISHK's Employee 員工簽署

Name 員工姓名:

Date 日期:

Position/ Title 職務/ 職稱

CE Number 中央編號:

SECTION F WITNESS 見證人士

IF THIS DOCUMENT IS NOT EXECUTED BY THE CLIENT(S) IN FRONT OF DHISHK'S EMPLOYEE OR SUBMITTED WITH AN APPROPRIATE CHEQUE^, BELOW SHOULD BE SIGNED BY A SUITABLE CERTIFIER (if applicable)

若客戶/聯名客戶並非在東海國際證券的僱員面前簽立此文件或連同適當的支票^一併遞交，則以下應由適合的證明人簽署（如適用）

THE UNDERSIGNED PERSON HEREBY CERTIFY THE SIGNING OF THIS DOCUMENT (TOGETHER WITH THE ABOVE AGREEMENT) BY THE ABOVE CLIENT / JOINT CLIENTS (PLEASE DELETE APPROPRIATE) PLEASE DELETE NOT APPROPRIATE AND VERIFICATION OF RELATED IDENTITY DOCUMENTS OF SUCH CLIENT(S)

下述簽署人士謹此認證上述客戶 / 聯名客戶（請刪去不適用者）簽立此文件（連同該協議書）及認證核實其有關的身分證明文件

☐ Other SFC licensed or registered person 其他獲證監會發牌或註冊人士

☐ Affiliate of DHISHK 東海國際證券有聯繫人士

☐ professional person such as a branch manager of a bank, certified public accountant,

☐ Justice of the Peace 太平紳士

☐ lawyer or notary public 專業人士例如銀行分行經理、執業會計師、律師或公證人

Signature of Witness 見證人簽署

Profession / Title 所屬專業/ 職位

Name of Witness 見證人姓名

CE Number (if applicable) 中央編號（如適用）

Date 日期

^A crossed cheque bearing your name shown in your identity document and drawn on your account with a licensed bank in Hong Kong with your same signatures (s) as shown on this Application Form in favour of “Donghai International Securities (HK) Ltd. for not less HKD 10,000 (or such other amounts as may be advised by DHISHK.). Your approved new account will not be activated until the cheque is cleared. 客戶在香港的持牌銀行開立的帳戶並由客戶所簽發（該簽名須與此申請表格上的客戶簽名相符）並載有客戶在其身份證明文件上所顯示的姓名的劃線支票，而該支票抬頭人須為“東海國際證券（香港）有限公司”及其數額不得少於 10,000 港元（或東海國際證券通知客戶的其他數額）。客戶被批核的新帳戶必須待支票兌現後才可使用。

STANDING AUTHORITY FOR MARGIN SECURITIES TRADING ACCOUNT 保證金證券交易戶口常設授權書

This letter of standing authority covers all securities purchased or held by you on my/our behalf.
本常設授權函件涵蓋一切由 貴公司代表本人／我們購入或持有之證券。

This letter authorises you to:-

1. apply any of my/our securities or securities collateral to securities borrowing and lending agreement(s);
 2. deposit any of my/our securities collateral with authorised financial institution(s) as collateral for financial accommodation provided to you; and/or
 3. deposit any of my/our securities collateral with a recognised clearing house or any other intermediary licensed or registered for dealing in securities as collateral for the discharge and satisfaction of your settlement obligations and liabilities,
- without notice to me/us, pursuant the Securities and Futures (Client Securities) Rules.

本函件授權 貴公司：

1. 運用任何本人／我們的證券或證券抵押品於證券借貸協議；
 2. 將任何本人／我們的證券抵押品存放於認可財務機構，作為提供予 貴公司的財務通融的抵押品；及／或
 3. 將任何本人／我們的證券抵押品存放於認可結算所或另一持牌或註冊進行證券交易的中介人，作為解除清償 貴公司在交收上的責任及債務的抵押品，
- 且根據《證券及期貨(客戶證券)規則》的規定，無須通知本人／我們。

I/We understand that the recognised clearing house or the intermediary licensed or registered for dealing in securities will have a first fixed charge over my/our securities collateral to the extent of your settlement obligations and liabilities.

本人／我們明白認可結算所或其他持牌或註冊進行證券交易的中介人，在 貴公司在交收上的責任及債務的限度之內而對本人／我們的證券抵押品設定第一固定押記。

This standing authority does not cover any consideration I/we must pay or be paid for your borrowing, lending, or depositing any of my/our securities. Any consideration must be set in a separate agreement between us.

本常設授權並不涵蓋就 貴公司借入、貸出或存放本人／我們任何證券而須支付或收取的任何代價。任何代價均須由本人／我們與 貴公司另行簽約訂明。

You are accountable to me/us for the return of any of my/our securities borrowed, lent, or deposited under this authority.
貴公司須向本人／我們就交還有關根據本常設授權而作出借入、貸出或存放之證券負責。

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

本人／我們明白本人／我們的證券可能受制於第三者之權利， 貴公司必須於抵償該等權利後，方將本人／我們的證券交還本人／我們。

This authority is **valid for a period of up to 12 months** from the date hereof and may be renewed or deemed to be renewed for subsequent periods of up to 12 months each either with my/our written consent or if I/we am/are given a written notice by you at least 14 days prior to the expiry of such authority and do not object to the renewal of such authority before its expiry. This authority may be revoked by me/us at any time on giving at least 30 days prior written notice to you.

本常設授權以本函件日期起計**十二個月內有效**，並可於下列情況予以續期，每次續期可有效十二個月；本人／我們以書面同意續期；或 貴公司於授權有效期屆滿前不少於十四日向本人／我們發出書面通知，而本人／我們於授權有效期屆滿前未有提出反對續期。本人／我們有權隨時以三十天書面通知 貴公司撤銷此常設授權書。

This letter has been fully explained to me/us, and I/we understand and accept the contents of this letter.
本函件已全部向本人／我們解釋清楚。本人／我們明白本函件的內容。

Yours faithfully此致，

Signature of account holder 戶口持有人簽署

Signature of account holder 戶口持有人簽署

(All joint account holders are required to sign) (所有聯名戶口持有人均須簽署)

Client name 客戶姓名

Client name 客戶姓名

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Day日

--	--

Month月

--	--	--	--

Year年

--	--

Day日

--	--

Month月

--	--	--	--

Year年

Do NOT use this form if:

- You are NOT an individual **W-8BEN-E**
- You are a U.S. citizen or other U.S. person, including a resident alien individual **W-9**
- You are a beneficial owner claiming that income is effectively connected with the conduct of trade or business within the U.S. (other than personal services) **W-8ECI**
- You are a beneficial owner who is receiving compensation for personal services performed in the United States **8233 or W-4**
- A person acting as an intermediary **W-8IMY**

Part I Identification of Beneficial Owner (see instructions)	
1 Name of individual who is the beneficial owner	2 Country of citizenship
3 Permanent residence address (street, apt. or suite no., or rural route). Do not use a P.O. box or in-care-of address.	
City or town, state or province. Include postal code where appropriate.	Country
Mailing address (if different from above)	Country
4 City or town, state or province. Include postal code where appropriate.	Foreign tax identifying number (see instructions)
5 U.S. taxpayer identification number (SSN or ITIN), if required (see instructions)	
6	
7 Reference number(s) (see instructions)	8 Date of birth (MM-DD-YYYY) (see instructions)

Part II Claim of Tax Treaty Benefits (for chapter 3 purposes only) (see instructions)	
9 I certify that the beneficial owner is a resident of within the meaning of the income tax treaty between the United States and that country.	
10 Special rates and conditions (if applicable—see instructions): The beneficial owner is claiming the provisions of Article of the treaty identified on line 9 above to claim a % rate of withholding on (specify type of income):	
Explain the reasons the beneficial owner meets the terms of the treaty article:	

Certification

Under penalties of perjury, I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete. I further certify under penalties of perjury that:

- I am the individual that is the beneficial owner (or am authorized to sign for the individual that is the beneficial owner) of all the income to which this form relates or am using this form to document myself as an individual that is an owner or account holder of a foreign financial institution,
- The person named on line 1 of this form is not a U.S. person,
- The income to which this form relates is:
 - (a) not effectively connected with the conduct of a trade or business in the United States,
 - (b) effectively connected but is not subject to tax under an applicable income tax treaty, or
 - (c) the partner's share of a partnership's effectively connected income,

The person named on line 1 of this form is a resident of the treaty country listed on line 9 of the form (if any) within the meaning of the income tax treaty between the United States and that country, and

For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.

Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which I am the beneficial owner or any withholding agent that can disburse or make payments of the income of which I am the beneficial owner. I agree that I will submit a new form within 30 days if any certification made on this form becomes incorrect.

Sign Here ▶

..... Signature of beneficial owner (or individual authorized to sign for beneficial owner) Date (MM-DD-YYYY)
..... Print name of signer Capacity in which acting (if form is not signed by beneficial owner)

LETTER OF AUTHORISATION
授權書

I/We, hereby authorise each of the following person(s) ("Authorised Person(s)") singly to act for me/us for a period of twelve (12) months with effect immediately. 本人／我們授權下列人士（“獲授權人士”）代表本人／我們自今天起為十二個月內，向 貴公司發出下述指令：

Name 姓名	Passport/Hong Kong Identity Card No. 護照／香港身份證號碼 (Please attach with a copy 請附上副本)
Residential Address 住宅地址 (Please attach with Proof of Residential Address within 3 months 請附上三個月內之住址證明)	
Telephone No. 電話號碼	Specimen Signature 簽署樣式

I/We acknowledge that each of the Authorised Person(s) is authorised to act for me/us. Please be instructed to accept instructions given by any Authorised Person singly on the following(s):-

本人／我們承諾各獲授權人士代表本人／我們行事。請個別指示接納獲授權人士就下列事項發出的指示：—

- to place order(s) to effect purchases and sales of, and to trade in any and all kinds of securities including, but not limited to, shares, stocks, debentures, loan stock, unit trusts, mutual funds, warrants, options, bonds, notes and commercial papers of any description whatsoever and wherever issued, on cash or otherwise, in or for the Account(s) and at my/our risk; 發出買賣盤以現金或其他方式於戶口買賣及交易任何及所有種類之證券，包括但不限於不論任何形式及於任何地點發行之股份、股票、公司債券、借貸資本、單位信託基金、互惠基金、認股權證、期權、債券、票據及商業票據，風險概由本人／我們承擔；
- to instruct you to make payment of monies from the Account(s), and to receive and direct payments therefrom by way of cheque(s) payable to me/us or direct deposit into such bank account(s) in my/our name(s). 指示 貴公司從戶口以本人／我們名義為抬頭人發出支票或直接將款項存入本人／我們名下之銀行戶口。

You are accordingly authorised and empowered to follow the captioned instruction(s) given by any Authorised Person singly, and I/We hereby ratify and confirm any and all transactions, trades or dealings related to such instruction(s), and agree to indemnify you and hold you free and harmless on demand of any loss, liability or damage by reason of such transactions, trades or dealings, or by reason of any other matters or things done by you in connection with and/or for the Account(s) pursuant to such instructions. 貴公司謹此獲授權及賦予權力，遵照任何個別獲授權人士發出之上述指示，而本人／我們謹此追認及確認有關指示的任何及所有交易、買賣或處置，並同意向 貴公司作出賠償保證，使 貴公司可免受基於有關交易、買賣或處置，或 貴公司根據獲授權人士所發出之有關指示，為戶口辦理之任何其他事宜或事件產生之任何損失、負債或損害免受影響及損害。

I/We confirm that each of the Authorised Person(s) is not a licensed or registered person of any licensed corporation or registered institution with the SFC. 本人／我們確認獲授權人士並非香港持牌法團或註冊機構的持牌人或註冊人。

This authorisation is revocable by at least one month's prior notice in writing duly signed by me/all of us served by me/us on you by registered mail provided that such revocation will not release me/any of us from any liability under the terms of this authorisation in respect of any act performed by you pursuant to this authorisation before actual receipt of the revocation notice or the expiry of such notice period. 本授權書可憑由本人／我們妥為簽署以掛號郵件形式於一個月內寄達 貴公司之書面通知，予以撤銷。惟撤銷授權不能免除本人／我們在 貴公司接獲實際撤銷通知或通知到期前 貴公司根據授權書之條款辦理之任何行動所應負之責任。

I/We agree that this authorisation shall be automatically renewed on a continuity basis unless revoked in accordance with the above provision. 本人／我們同意如本人／我們沒有向 貴公司提出最少一個月的書面通知以撤銷本授權書，本指示將自動續期。

Yours faithfully 此致，

Signature of account holder 戶口持有人簽署	Signature of account holder 戶口持有人簽署
-------------------------------------	-------------------------------------

(All joint account holders are required to sign) (所有聯名戶口持有人均須簽署)

Client name 客戶姓名	Client name 客戶姓名												
<table border="1"><tr><td></td><td></td></tr><tr><td>Day 日</td><td>Month 月</td></tr><tr><td colspan="2">Year 年</td></tr></table>			Day 日	Month 月	Year 年		<table border="1"><tr><td></td><td></td></tr><tr><td>Day 日</td><td>Month 月</td></tr><tr><td colspan="2">Year 年</td></tr></table>			Day 日	Month 月	Year 年	
Day 日	Month 月												
Year 年													
Day 日	Month 月												
Year 年													

Office Use: TO BE COMPLETED BY ACCOUNT EXECUTIVE 本公司使用：由客戶經理填寫

For Cash Securities Trading
Account
現金證券交易戶口
For Margin Securities
Trading Account
保證金證券交易戶口

Proposed Trading Limit
建議交易限額

Proposed Credit Limit
信貸限額

HK\$港元

HK\$港元

Overdraft Interest Rate:
透支利率:

% plus prime lending rate 加優惠利率

HK Commission rate
港股佣金:

US or other markets (Please specify) Commission
Rate 美股或其它市場(如適用)佣金:

AE's Signature 客戶經理簽署:

Full Name 全名:

Money Laundering Risk Classification:
洗黑錢風險分類

☐ Low Risk
低風險

☐ High Risk
高風險

Documentation checked and input by 文件檢查及輸入:

Documentation checked and input by 文件覆核:

Signature 簽署

Signature 簽署

Position (please print) 職位(正楷):

Day 日 Month 月 Year 年

Position (please print) 職位(正楷):

Day 日 Month 月 Year 年

Approved for and on behalf of Donghai International Securities by
經由下列人士代表東海國際證券香港有限公司批核

Signature 簽署

Position (please print) 職位(正楷):

Day 日 Month 月 Year 年

Remarks 備註: