



永豐金證券(亞洲)有限公司

SinoPac Securities (Asia) Limited

ADDITIONAL SECURITIES ACCOUNT FORM

增設證券帳戶表格

(For existing clients only 僅供現有客戶使用)

Client Name 客戶姓名 : _____

Account No. 客戶帳號 : _____

Registered Office: 7th Floor, Lee Garden Three, 1 Sunning Road, Causeway Bay, Hong Kong
註冊辦事處：香港銅鑼灣新寧道一號利園三期七樓
Tel. 電話：(852) 2586-8288 Fax 傳真：(852) 2586-8300

SinoPac Securities (Asia) Ltd is a licensed corporation for Types 1, 2, 4, 5 and 9 regulated activities under the Securities and Futures Ordinance (CE Number: BIZ502).
永豐金證券(亞洲)有限公司乃一家根據《證券及期貨條例》獲發牌進行第一、二、四、五及第九類受規管活動的持牌法團 (中央編號：BIZ502)。

IMPORTANT: This Additional Account Form is accompanied by a Chinese version. In the event of any inconsistency, the English version of this Account Opening Form shall prevail.
重要提示：本增設帳戶表格附帶中文版，若與英文版有任何歧異，以英文版為準。

I. Additional Account 增設帳戶

I/We hereby apply to SinoPac Securities (Asia) Limited to open and maintain an additional securities trading account (“Account”) in my/our name for the purpose of instructing SinoPac Securities (Asia) Limited to buy and sell, and otherwise deal with, securities and other investments on my/our behalf and I/we hereby accept and agree to be bound by the provisions of this Additional Account Form and the SinoPac Securities (Asia) Limited Terms and Conditions for the Account.

本人/吾等/本公司謹此向永豐金證券(亞洲)有限公司申請以本人/吾等/本公司的名義增設及維持證券交易帳戶(「帳戶」),以用作指示永豐金證券(亞洲)有限公司代本人/吾等/本公司買賣及以其他方式處置證券及其他投資;而本人/吾等/本公司謹此接納並同意受本增設帳戶表格及規限帳戶之永豐金證券(亞洲)有限公司條款及條件約束。

Selection of Account Type* 選擇帳戶類別*

- (1) For Individual 個人帳戶 Joint Account 聯名帳戶 Corporate Account 公司帳戶[^]
- (2) Cash Account 現金帳戶 Margin Account* 保證金(融資)帳戶*
- General Account 一般證券帳戶 Internet Trading 網上交易 U.S. Securities Trading 美國證券交易
- Northbound (MAMK & SZMK) Trading 滬深港通北向交易
(Please complete Confirmation Regarding Investor Identification Regime for Northbound Trading)(請填寫北向交易投資者識別碼制度確認書)
- Taiwan Securities Trading 台灣證券交易
(Please complete Declaration for Taiwan Securities and Futures Trading)(請填寫交易台灣證券及期貨客戶聲明書)
- HK Stock Options Trading Account 香港股票期權帳戶
(Only applicable to Securities (Cash) Account)(只適用於證券(現金)帳戶)
- U.S. Stock Options Trading Account 美國股票期權帳戶
(Only applicable to Securities (Margin) Account)(只適用於證券(保證金)帳戶)
- Portfolio Investment Services 組合投資服務

* Please tick the relevant box(es) 請在適當空格加上剔號

[^] Corporate client shall provide certified true copy of (1) board resolution for approving the opening of the Account and (2) the mandate for the operation of the Account. 公司客戶須提供 (1) 批准開設帳戶之董事會決議;及(2) 操作帳戶之授權之核證副本。

* Please sign the attached Form 1 – “Standing Authority” and Form 2 – “Margin Facility Agreement”. 請簽署附上之表格一 “常設授權書” 及表格二 “保證金融資協議書”。

II. Declaration 聲明

(1) Declaration of Ownership 擁有權聲明

I/We hereby declare that I/we am/are the ultimate beneficial owner(s) of the Account 本人/吾等/本公司現聲明本人/吾等/本公司為該帳戶之最終實益擁有人: * Delete if not applicable 刪除不適用者

Yes 是

No, particulars of ultimate beneficiary(ies) are as follows 否, 請列出實際最終受益人資料:

Name 姓名/名稱 _____

ID/Passport/Incorporation No. *身份證/護照/公司註冊號碼* _____

Address 地址 _____

(2) Confirmation and Consent 確認及同意

I/We declare that the information of me/us in SinoPac Securities (Asia) Limited’s record is up-to-date and consent SinoPac Securities (Asia) Limited using such information according to the provisions of this Additional Account Form. I/We understand that I/we may be requested by SinoPac Securities (Asia) Limited to provide additional information or submit documentary proof for the purpose of opening the Account.

本人/吾等/本公司聲明本人/吾等/本公司於永豐金證券(亞洲)有限公司記錄的資料是最新的,並同意永豐金證券(亞洲)有限公司按照本增設帳戶表格之規定使用該等資料。本人/吾等/本公司明白永豐金證券(亞洲)有限公司可能要求本人/吾等/本公司提供額外資料或證明文件作開設帳戶之用。

III. Acknowledgement, Declaration and Signatures By Client 客戶承諾、聲明及簽署

The undersigned hereby acknowledges, declares and confirms (applicable to individual or joint account) / the undersigned hereby acknowledges, declares and confirms for any on behalf of the Company (applicable to corporate account) that:

以下簽署人謹此承諾、聲明並確認(個人或聯名帳戶適用) / 以下簽署人謹此代表本公司承諾、聲明並確認 (公司帳戶適用):

● The information as set out in this Additional Account Form is true, complete and correct and SinoPac Securities (Asia) Limited is entitled to rely fully on such information, as well as my/our information in SinoPac Securities (Asia) Limited’s record for all purposes relating to the Account and the transactions contemplated by the SinoPac Securities (Asia) Limited Terms and Conditions (“Terms & Conditions”). I/We undertake to notify SinoPac Securities (Asia) Limited promptly in case of any change of information;

本增設帳戶表格內所載資料屬真實、完整及正確無誤,永豐金證券(亞洲)有限公司有權全面倚賴此等資料,以及本人/吾等/本公司於永豐金證券(亞洲)有限公司記錄的資料就任何有關帳戶及按照永豐金證券(亞洲)有限公司條款及條件(「條款及條件」)預計進行的交易作任何用途。倘資料有任何更改,本人/吾等/本公司承諾盡快知會永豐金證券(亞洲)有限公司;

● I/We have received, read and understood the Terms and Conditions (including the schedules, appendices and annexes thereto, if any), and I/we accept and agree to be bound by them;

本人/吾等/本公司已收到、閱讀及明白條款及條件(包括其附表、附錄及附件(如有)),且本人/吾等/本公司接納並同意受該等條款約束;

● The risk disclosure statements and disclaimers (as contained in the Terms & Conditions) have been provided to me/us in a language of my/our choice (English or Chinese);

風險披露聲明及免責聲明(載於條款及條件內)按本人/吾等/本公司選擇的語言(英文或中文)的版本提供予本人/吾等/本公司;

● I/We was invited to read the risk disclosure statements, and to ask questions and take independent advice if I/we so wish;

本人/吾等/本公司已獲邀請閱讀風險披露聲明,並按本人/吾等/本公司的意願提出問題及諮詢獨立意見;

III. Acknowledgement, Declaration and Signatures By Client (Continued) 客戶承諾、聲明及簽署 (繼續)

- I/We undertake to promptly notify SinoPac Securities (Asia) Limited if I/we (applicable to individual or joint account) / any of our shareholders and/or directors (applicable to corporate account) become(s) employed by any licensed or registered person with Hong Kong Securities and Futures Commission;
倘本人/吾等(個人或聯名帳戶適用)/本公司的任何股東及/或董事(公司帳戶適用)受聘於香港證券及期貨事務監察委員會發牌或註冊的任何人士,則本人/吾等/本公司承諾盡快通知永豐金證券(亞洲)有限公司;
 - I/We am/are and will be acting as principal for the Account, unless where particulars of the ultimate beneficial owner(s) are provided in this Additional Account Form in which case I/we confirm that the person(s) whose particulars are so provided is/are the ultimate beneficial owner(s) of the Account;
除非於本增設帳戶表格提供最終實益擁有人的詳情,否則本人/吾等/本公司就帳戶而言乃以及將以當事人之身份行事,而倘於本增設帳戶表格已提供最終實益擁有人的詳情,則本人/吾等/本公司確認所提供詳情的人士(一名或多名)為帳戶的最終實益擁有人(一名或多名);
 - I/We have the authority and power and legal capacity to sign this Additional Account Form, to maintain and operate the Account, to effect the transactions contemplated by the Terms and Conditions, and to perform all my/our obligations under this Additional Account Form and the Terms and Conditions, and this Additional Account Form and the Terms and Conditions constitute and supplement valid and legally binding obligations on me/us enforceable in accordance with their respective terms; and
本人/吾等/本公司獲授權,並有權力和法定身份去簽署本增設帳戶表格、保留及操作帳戶、進行條款及條件預計進行的交易,及根據本增設帳戶表格以及其條款及條件履行本人/吾等/本公司的所有義務,而本增設帳戶表格以及其條款及條件按照其各自的條款,構成並補充對本人/吾等/本公司可強制執行的有效和具有法律約束力的義務;及
 - I/We have hereby read and understood the privacy policy of SinoPac Securities (Asia) Limited set out in the "Notice to Customers Relating to the Personal Data (Privacy) Ordinance", "GDPR Privacy Statements" (where applicable) and "Notice to Customers Relating to the Use of Personal Data Relating to Tax Compliance" contained in the Terms and Conditions (collectively "Privacy Policy"). The undersigned agrees that the personal data collected by SinoPac Securities (Asia) Limited from time to time may be used and disclosed for such purposes and to such persons (whether in or outside Hong Kong) as set out in the Privacy Policy. The undersigned accepts that SinoPac Securities (Asia) Limited may use the undersigned's personal data for direct marketing. (Please check the box below if the undersigned opposes the use of the personal data for direct marketing.)
本人/吾等/本公司已閱讀及明白永豐金證券(亞洲)有限公司於條款及條件中「給予客戶關於《個人資料(私隱)條例》的客戶通知」、「歐盟個人資料保護規則(GDPR)私隱政策聲明」(如適用)及「關於就稅務合規使用個人資料的客戶通知」所載之私隱政策(合稱「私隱政策」)。以下簽署人同意由永豐金證券(亞洲)有限公司不時蒐集的個人資料可按照私隱政策用於其所述用途及向其所述人士(不論在香港境內或境外)披露。以下簽署人接受永豐金證券(亞洲)有限公司可使用其個人資料作直接促銷。(如以下簽署人反對個人資料被用作直接促銷,請於以下空格填上(「√」)號。)
- The undersigned objects to the proposed use of his/her personal data in direct marketing.
以下簽署人反對使用其個人資料作直接促銷用途。
- (Applicable to corporate account) The undersigned agrees to circulate the Privacy Policy to the relevant managers/corporate officers (e.g. authorized representatives), directors, major shareholders, beneficial owners and guarantors of the Company from whom SinoPac Securities (Asia) Limited may need to collect their personal data from time to time in the course of its provision of services to the Company and causes such persons agree to the Privacy Policy and the use and disclosure of their personal data collected by SinoPac Securities (Asia) Limited from time to time for such purposes and to such persons (whether in or outside Hong Kong) as set out in the Privacy Policy.
(公司帳戶適用)以下簽署人同意向永豐金證券(亞洲)有限公司在為本公司提供服務的過程中可能不時需要蒐集其個人資料的有關經理/公司主任(例如授權代表)、董事、大股東、實益擁有人及保證人傳閱私隱政策及使該等人士同意私隱政策及由永豐金證券(亞洲)有限公司不時蒐集的該等人士的個人資料可按照私隱政策用於其所述用途及向其所述人士(不論在香港境內或境外)披露。

(1) For Individual / Joint Account 個人/聯名帳戶

Signature of Client 客戶簽署
Name 姓名: _____
Date 日期 (dd/mm/yyyy) (日/月/年): _____

Signature of Client (for secondary joint account holder only)
客戶簽署(只適用第二聯名帳戶持有人)
Name 姓名: _____
Date 日期 (dd/mm/yyyy) (日/月/年): _____

(2) For Corporate Account 公司帳戶

Signature of Director/Authorized Signature(s) with Company Chop
董事或獲授權代表簽署並蓋章
Name and Title 姓名及職銜: _____
Date 日期 (dd/mm/yyyy) (日/月/年): _____

Signature of Director/Authorized Signature(s) with Company Chop
董事或獲授權代表簽署並蓋章
Name and Title 姓名及職銜: _____
Date 日期 (dd/mm/yyyy) (日/月/年): _____

Declaration by SinoPac Securities (Asia) Limited Licensed Staff 永豐金證券(亞洲)有限公司持牌職員聲明

I, named below, a licensed staff member of SinoPac Securities (Asia) Limited, hereby declare that I have 本人(姓名見下), 為永豐金證券(亞洲)有限公司之持牌職員, 謹此聲明, 本人:

- provided to the above-named Client(s) the risk disclosure statements (as contained in the Terms & Conditions) in a language of the Client's choice (English or Chinese); and
已向客戶提供客戶選擇語言(英文或中文)所撰寫的風險披露聲明(載於條款及條件內);及
- invited the Client to read the risk disclosure statements, ask questions and take independent advice if the Client so wishes.
已提示客戶參閱風險披露聲明, 並提出問題及按客戶之意願徵詢獨立意見。

Signature of Staff 職員簽署
Staff Name 職員姓名: _____
Staff Designation 職員職銜: _____
Staff CE Number 職員中央編號: _____
Date 日期 (dd/mm/yyyy) (日/月/年): _____
Remark 備註: _____

Form 1 表格一

(Margin account clients only) (只供保證金(融資)帳戶客戶使用)

To: SinoPac Securities (Asia) Limited
永豐金證券(亞洲)有限公司
7th Floor, Lee Garden Three, 1 Sunning Road, Causeway Bay, Hong Kong
香港銅鑼灣新寧道一號利園三期七樓

Dear Sir / Madam :
敬啟者：

RE 有關: Standing Authority : 常設授權書
Client Account No. 客戶帳戶號碼: []

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/吾等購入或持有之證券。

This letter authorizes 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 authorized financial institution(s) as collateral for financial accommodation provided to you; and/or
 3. deposit any of my/our securities collateral with a recognized 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 to Section 7 of the Securities and Futures (Client Securities) Rules.

本函件授權貴公司：

1. 運用任何本人/吾等的證券或證券抵押品於證券借貸協議；
2. 將任何本人/吾等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/吾等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，作為解除和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》第7條的規定，無須通知本人/吾等。

I/We understand that the recognized 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/吾等明白認可結算所或其它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/吾等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/吾等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/吾等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/吾等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/吾等明白本人/吾等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/吾等的證券交還本人/吾等。

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/吾等以書面同意續期；或貴公司於授權有效期屆滿前不少於十四日向本人/吾等發出書面通知，而本人/吾等於授權有效期屆滿前未有提出反對續期。本人/吾等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.

已全部向本人/吾等解釋清楚本函件。本人/吾等明白及接受本函件的內容。

Yours faithfully,
此致

Signature of Client/Authorized Signatory

客戶/授權代表簽署

Name 姓名: _____

(日/月/年)

Date 日期: _____ (dd/mm/yyyy)

Signature of Joint Account Holder (If Applicable)

聯名帳戶持有人簽署(如適用)

Name 姓名: _____

(日/月/年)

Date 日期: _____ (dd/mm/yyyy)

Form 2 表格二

(Margin account clients only) (只供保證金(融資)帳戶客戶使用)

MARGIN FACILITY AGREEMENT 保證金融資協議書

I/We hereby apply to SinoPac Securities (Asia) Limited for the Credit Facility with respect to my/our Margin Account on the following terms, which are additional to the parties' rights under the SinoPac Securities (Asia) Limited Terms and Conditions ('Terms and Conditions'). 本人/吾等現向永豐金證券(亞洲)有限公司按下列條件申請保證金融資帳戶的融資服務,以下條件是額外附加於永豐金證券(亞洲)有限公司條款及條件(「條款及條件」)。

Applicant	:	
申請人	:	
Address	:	
申請人地址:	:	
Margin Facility Provider	:	SinoPac Securities (Asia) Limited 永豐金證券(亞洲)有限公司
保證金融資提供者	:	
Application Date (dd/mm/yyyy)	:	
申請協議日期 (日/月/年)	:	
Charge	:	As defined under Clause 35 of the Schedule 1 - General Terms and Conditions of the Terms and Conditions.
押記	:	依據條款及條件附表一 - 一般條款及條件第三十五條之定義。
Credit Facilities	:	Subject to the final approval of the Margin Facility Provider, a Credit Facility (for an amount up to a credit limit which is to be confirmed by the Margin Facility Provider) is provided to the Applicant. The credit limit is set in accordance with the Margin Ratio, calculated by dividing the total value of the credit amount provided to the Applicant with the total value of the Collateral held by the Margin Facility Provider ("Margin Ratio"). Unless agreed by the Margin Facility Provider, the Margin Ratio shall not exceed 100%. The Margin Facility Provider may, at its sole discretion, vary the credit limit and Margin Ratio in response to any prevailing and/or contingent market condition from time to time. 在保證金融資提供者最終批核的條件下,保證金融資(額度上限由保證金融資提供者核定)將會提供予申請人。申請人保證金融資上限是按貸款金額總值除以按抵押品總值計算得出之百分比(「保證金比率」)。除非保證金融資提供者同意,否則保證金比率都不得超過百分之一百。保證金融資提供者有絕對決定權在任何時候因應當時市場環境改變保證金比率百分比。
保證金融資	:	
Rate of Interest	:	The Applicant agrees to pay interest on the outstanding credit amount to the Margin Facility Provider at a rate to be determined by the Margin Facility Provider. The interest is accrued daily on a monthly compounded basis for the period commencing from the date of advancement to the date the Applicant repays the credit amount in full. The interest is payable on the last business day of each month and may be deducted/offset from the Margin Facility Account and/or the Collateral. The Margin Facility Provider may, at its sole discretion, vary the interest rate in response to any prevailing and/or contingent market condition from time to time. 申請人同意就已動用之保證金融資貸款金額付利息給保證金融資提供者。融資利率將由保證金融資提供者核定。利息是按每月複息計算並以每日計算的基礎上從借貸日到還款日計算。利息須於每月的最後一個營業日清還,同時利息可在申請人的保證金融資戶口或抵押品扣減或相抵。保證金融資提供者有絕對決定權因應當時市場環境隨時改變融資利率。
融資利率	:	

I/We hereby acknowledge that: 本人/吾等現確認如下:

- I/We have received from the Margin Facility Provider a copy of the Terms and Conditions. 本人/吾等已從保證金融資提供者收到一份條款及條件。
- I/We fully understand and accept all the provisions set out in the Terms and Conditions, which shall form part of this Margin Facilities Agreement and shall be legally binding between the parties (where applicable). Unless otherwise provided, all words and expression used under this Margin Facility Agreement shall have the same meaning to the Terms and Conditions. In the event that the provisions and contents between the Terms and Conditions and this Margin Facility Agreement are not consistent, the provisions set out in this Margin Facility Agreement shall prevail. 本人/吾等完全明白和接受條款及條件,並同意其成為這保證金融資協議書的一部份並擁有法律效力(在適用情況下)。除非另行指明,本保證金融資協議書的內容和表達應根據條款及條件內的內容和表達解釋。如果保證金融資協議書的條款和條款及條件不一致,應以這保證金融資協議書的條款內容和表達為準。
- The provisions set out in this Margin Facility Agreement together with the Terms and Conditions constitute the final, complete and exclusive statement of the terms of the agreements between the parties pertaining to the Credit Facility, and supersede all prior and contemporaneous understanding and agreements of the parties. 條款及條件和這保證金融資協議的條款構成保證金融資事項有關之完整協議,並取代所有口頭溝通及之前的相關協議。
- I/We are obliged to notify the Margin Facility Provider immediately of any change of my/our circumstances, which renders me/us to be a member of the group of related margin client, including: (1) where this is a group of 2 margin clients, one is the spouse of the other; (2) where one or more of the margin clients are corporations, one is in control (either alone or with his spouse) of 35% or more of the voting rights of that other margin client or each of the other margin client (as the case maybe); or (3) where the margin clients are corporations, they are members of the same group of companies. 本人/吾等有責任立刻通知保證金融資提供者有關因本人/吾等情況變化而令本人/吾等成為一組關連保證金客戶,這包括: (1)當有兩位保證金客戶時,一位客戶是另一位配偶; (2)當一位或以上保證金客戶是公司時,另一位(不論是自身或是與配偶一起)操控另一位客戶或其它客戶35%或以上的股份投票權;或(3)當保證金客戶是公司時,它們同屬於相同的公司集團。

Signed by ALL Applicant(s) 所有申請人簽署: _____

Print Name(s) 所有申請人全名: _____

Date 簽署日期: _____ (dd/mm/yyyy)(日/月/年)