

Gear Securities Investment Limited

基業證券投資有限公司 (CE No.中央編號: BHM175)

7/F, China Paint Building, 1163 Canton Road, Mongkok, Kowloon, Hong Kong

香港九龍旺角廣東道 1163 號中華漆廠大廈 7 樓

**ACCOUNT OPENING FORM – Individual/Joint Account**

開戶申請表格 – 個人/聯名帳戶

1. Account Type 帳戶類別			
<input type="checkbox"/>	Cash Individual Account 現金個人帳戶	Account No. 帳戶號碼	: 18
<input type="checkbox"/>	Cash Joint Account 現金聯名帳戶	Account No. 帳戶號碼	: 18
<input type="checkbox"/>	Margin Individual Account 保證金個人帳戶	Account No. 帳戶號碼	: 28
<input type="checkbox"/>	Margin Joint Account 保證金聯名帳戶	Account No. 帳戶號碼	: 28
Electronic Trading Service 電子交易			
<input type="checkbox"/>	Internet Trading Services 互聯網電子交易		
<input type="checkbox"/>	Mobile Apps 流動應用程式		
2. Client's Information 客戶資料			
2a. Individual/Primary Joint Account Holder 個人/基本聯名帳戶持有人			
English Name 英文姓名  _____ (Surname 姓)                      (Forename 名)		Chinese Name 中文姓名  _____ (Surname 姓)                      (Forename 名)	
		Gender 性別  Mr./Miss/Mrs./Ms 先生/小姐/太太/女士	
HKID/Passport No.: 香港身份證/護照號碼:		Date of Birth: (dd/mm/yyyy) 出生日期: (日/月/年)	
Place of Birth (Country): 出生地(國家):	Country/Region: 國籍:	Country of Residence: 居住國家:	
Residential Address 住宅地址 <sup>1</sup> (P.O. Box not accepted 不接受郵政信箱)			
Nature of Residence 住宅類別: <input type="checkbox"/> Owned 自置 <input type="checkbox"/> Mortgage 按揭 <input type="checkbox"/> Rented 租住 <input type="checkbox"/> with parents 與父母同住 <input type="checkbox"/> Quarters 宿舍 <input type="checkbox"/> Others 其他 _____			
Method of Communication 通訊方式			
1. Trading confirmations and statements will be sent by ONE of the following methods 交易確認及帳單以下列其中一項方式發送: <input type="checkbox"/> By email 電郵 _____ <input type="checkbox"/> By post 郵遞 (Administrative Fee may be charged 有機會收取行政費)			
2. All postal correspondence will be sent to ONE of the following address 所有郵遞信件將會發送到下列其中一個地址: <input type="checkbox"/> Residential address 住宅地址 <input type="checkbox"/> Office address 辦公室地址 <input type="checkbox"/> Others 其他 _____ (Please note that the statement will be sent to Individual/Primary Account Holder by post 請留意結單將以郵遞方式寄往個人/基本帳戶持有人)			
Mobile Phone No. 手提電話號碼	Residential Phone No. 住宅電話號碼	Fax No. 傳真號碼	
Education Level 教育水平: <input type="checkbox"/> Primary or below 小學或以下 <input type="checkbox"/> Secondary 中學 <input type="checkbox"/> University Graduate 大學畢業 <input type="checkbox"/> Postgraduate or above 碩士或以上			
Marital Status 婚姻狀況: <input type="checkbox"/> Single 單身 <input type="checkbox"/> Married 已婚 <input type="checkbox"/> Separate 分居 <input type="checkbox"/> Divorce 離婚 <input type="checkbox"/> Other 其他: _____			
Employment Status 就業情況: <input type="checkbox"/> Employed 受僱 <input type="checkbox"/> Self-employed 自僱 <input type="checkbox"/> Retired 退休 <input type="checkbox"/> Housewife 家庭主婦 <input type="checkbox"/> Student 學生 <input type="checkbox"/> Others (please specify) 其他 (請註明): _____			

<sup>1</sup> Please provide a valid address proof issued within 3 months. 請提供最近三個月內發出的有效地址證明。

Employer Name 僱主名稱:		Position 職位:
Nature of Business 業務性質:	Office Phone No. 辦事處電話號碼:	Years of Service 任職年期:
Office Address 辦事處地址 (P.O. Box not accepted 不接受郵政信箱)		
Source of Funds 資金來源	<input type="checkbox"/> Salary 薪金 <input type="checkbox"/> Commission 佣金 <input type="checkbox"/> Pension 退休金 <input type="checkbox"/> Business Profit 營業收入 <input type="checkbox"/> Investment Income 投資收入	<input type="checkbox"/> Family Income 家庭收入 <input type="checkbox"/> Personal Savings 個人儲蓄 <input type="checkbox"/> Rental Income 租金收入 <input type="checkbox"/> Dividend 股息/Interest 利息 <input type="checkbox"/> Others 其他: _____
Origins of Funds Source 資金來源地	(check more than one box, if appropriate 如適用，可選擇多於一項)	
	<input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> China 中國 <input type="checkbox"/> USA 美國 <input type="checkbox"/> Taiwan 台灣 <input type="checkbox"/> Others, please specify 其他，請註明: _____	
Annual Income (HK\$) 每年收入(港幣)	<input type="checkbox"/> <=200,000 <input type="checkbox"/> 200,001 – 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"/> > 5,000,000	
Approximate Net Worth (HK\$) 概約資產淨值(港幣): <sup>2</sup>	<input type="checkbox"/> <=1,000,000 <input type="checkbox"/> 1,000,001 – 3,000,000 <input type="checkbox"/> 3,000,001 – 6,000,000 <input type="checkbox"/> 6,000,001 – 10,000,000 <input type="checkbox"/> 10,000,001 – 20,000,000 <input type="checkbox"/> >20,000,000	

<sup>2</sup> Exclusive of the values of self-occupied building. 自住物業價值除外。

2b. Secondary Joint Account Holder 第二聯名帳戶持有人			
English Name 英文姓名  _____ (Surname 姓)                      (Forename 名)		Chinese Name 中文姓名  _____ (Surname 姓)                      (Forename 名)	Gender 性別  Mr./Miss/Mrs./Ms 先生/小姐/太太/女士
HKID/Passport No.: 香港身份證/護照號碼:		Date of Birth: (dd/mm/yyyy) 出生日期: (日/月/年)	
Place of Birth (Country): 出生地(國家):	Nationality: 國籍:	Country of Residence: 居住國家:	
Residential Address 住宅地址 <sup>3</sup> (P.O. Box not accepted 不接受郵政信箱)			
Nature of Residence 住宅類別: <input type="checkbox"/> Owned 自置 <input type="checkbox"/> Mortgage 按揭 <input type="checkbox"/> Rented 租住 <input type="checkbox"/> with parents 與父母同住 <input type="checkbox"/> Quarters 宿舍 <input type="checkbox"/> Others 其他 _____			
Email Address 電郵地址			
Mobile Phone No. 手提電話號碼	Residential Phone No. 住宅電話號碼	Fax No. 傳真號碼	
Education Level 教育水平: <input type="checkbox"/> Primary or below 小學或以下 <input type="checkbox"/> Secondary 中學 <input type="checkbox"/> University Graduate 大學畢業 <input type="checkbox"/> Postgraduate or above 碩士或以上			
Marital Status 婚姻狀況: <input type="checkbox"/> Single 單身 <input type="checkbox"/> Married 已婚 <input type="checkbox"/> Separate 分居 <input type="checkbox"/> Divorce 離婚 <input type="checkbox"/> Other 其他: _____			
Employment Status 就業情況: <input type="checkbox"/> Employed 受僱 <input type="checkbox"/> Self-employed 自僱 <input type="checkbox"/> Retired 退休 <input type="checkbox"/> Housewife 家庭主婦 <input type="checkbox"/> Student 學生 <input type="checkbox"/> Others (please specify) 其他 (請註明): _____			
Employer Name 僱主名稱:		Position 職位:	
Nature of Business 業務性質:	Office Phone No. 辦事處電話號碼:	Years of Service 任職年期:	
Office Address 辦事處地址 (P.O. Box not accepted 不接受郵政信箱)			
Source of Funds 資金來源	<input type="checkbox"/> Salary 薪金 <input type="checkbox"/> Commission 佣金 <input type="checkbox"/> Pension 退休金 <input type="checkbox"/> Business Profit 營業收入 <input type="checkbox"/> Investment Income 投資收入	<input type="checkbox"/> Family Income 家庭收入 <input type="checkbox"/> Personal Savings 個人儲蓄 <input type="checkbox"/> Rental Income 租金收入 <input type="checkbox"/> Dividend 股息/Interest 利息 <input type="checkbox"/> Others 其他: _____	
Origins of Funds Source 資金來源地	(check more than one box, if appropriate 如適用, 可選擇多於一項) <input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> China 中國 <input type="checkbox"/> USA 美國 <input type="checkbox"/> Taiwan 台灣 <input type="checkbox"/> Others, please specify 其他, 請註明: _____		
Annual Income (HK\$) 每年收入(港幣)	<input type="checkbox"/> <=200,000 <input type="checkbox"/> 200,001 – 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"/> > 5,000,000		

<sup>3</sup> Please provide a valid address proof issued within 3 months. 請提供最近三個月內發出的有效地址證明。

Approximate Net Worth (HK\$) 概約資產淨值(港幣): <sup>4</sup>	<input type="checkbox"/> ≤1,000,000 <input type="checkbox"/> 1,000,001 – 3,000,000 <input type="checkbox"/> 3,000,001 – 6,000,000 <input type="checkbox"/> 6,000,001 – 10,000,000 <input type="checkbox"/> 10,000,001 – 20,000,000 <input type="checkbox"/> >20,000,000
--	--

---

<sup>4</sup> Exclusive of the values of self-occupied building. 自住物業價值除外。

**Signing Arrangement For Joint Account 聯名帳戶簽署安排 (Applicable to Joint Account Only 僅適用於聯名帳戶)**

The signing arrangement for the joint account 聯名帳戶簽署安排:

- Any one of the joint account holders 任何一名聯名帳戶持有人
- All joint account holders 所有聯名帳戶持有人
- Others (please specify) 其他 (請註明): \_\_\_\_\_

**Bank Account Information 銀行帳戶資料**

I/We agree that the net proceeds of sale of any securities shall be retained in my/our account(s) with GSIL<sup>5</sup>. If I/we request to withdraw money from my/our account(s) with GSIL, please deposit the proceeds into the following bank account(s) established in my/our name with the Hong Kong licensed bank(s).

本人/吾等同意售出證券所得的款項淨額將會存放於本人/吾等於基業投資<sup>6</sup>開立的帳戶內。如本人/吾等若從基業投資的帳戶內提款，請將款項存入本人/吾等在下列香港持牌銀行所開立的同名帳戶內。

Name of Bank 銀行名稱	Bank Account Name 銀行帳戶持有人名稱	Bank Account No. 銀行帳戶號碼	Currency 貨幣

**3. Disclosure of Related Account(s) 披露關連帳戶<sup>7</sup>**(i) Are you an employee or director of GSIL **or** related to any employee or director of GSIL?您是否基業投資之僱員或董事**或**與基業投資之任何僱員或董事有親戚關係?

- No 否
- Yes. I am an employee/director. 是。我是僱員/董事。
- Yes. I am related to the following employee/director: 是。我與以下僱員/董事有關聯:

Name of employee/director 僱員/董事姓名: \_\_\_\_\_

Relationship 關係: \_\_\_\_\_

(ii) Is your spouse/child a client of GSIL?

您的配偶/子女是否基業投資之客戶?

- No 否
- Yes. Details are as follows 是。詳細資料如下:

Name of Account Holder 帳戶持有人姓名: \_\_\_\_\_

Account No. 帳戶號碼: \_\_\_\_\_

(iii) Are you, either alone or with your spouse jointly operating another account with GSIL?

您是否個人或與配偶共同操作另一個基業投資帳戶?

- No 否
- Yes. Details are as follows 是。詳細資料如下:

Name of Account Holder 帳戶持有人姓名: \_\_\_\_\_

Account No. 帳戶號碼: \_\_\_\_\_

(iv) Are you, either alone or with your spouse, in control of 35% or more of the voting rights of any corporate client of GSIL?

您是否個人或與配偶共同控制任何基業投資公司客戶 35% 或以上的投票權?

- No 否
- Yes. Details are as follows 是。詳細資料如下:

Name of Account Holder 帳戶持有人姓名: \_\_\_\_\_

Account No. 帳戶號碼: \_\_\_\_\_

<sup>5</sup> "GSIL" means Gear Securities Investment Limited.<sup>6</sup> 「基業投資」指基業證券投資有限公司。<sup>7</sup> For Secondary Joint Account Holder, please fill in Supplementary Account Opening Form. 第二聯名帳戶持有人請填寫附加開戶申請表格。

#### 4. Investment Profile 投資取向

##### Investment Objective 投資目的

Capital Preservation 保本  Capital Growth 資本增值  Dividend Yield 股息回報  Income 收入  Hedging 對沖  Speculation 投機

##### Investment Experience 投資經驗

###### Products 產品

No. of Years 年數

Average Portfolio Value (HK\$) 平均組合價值(港幣)

###### Listed Securities

上市證券

\_\_\_\_\_

\_\_\_\_\_

###### Futures/Options

期貨/期權

\_\_\_\_\_

\_\_\_\_\_

###### Bonds/Funds

債券/基金

\_\_\_\_\_

\_\_\_\_\_

###### Others (please specify)

其他(請註明)

\_\_\_\_\_

\_\_\_\_\_

## 5. Client's Knowledge on Derivative Products and Dealing Experience 客戶對衍生工具的認識及投資經驗

(i) Have you ever undergone training or attended any courses or seminars on derivative and structured investment product(s)?

您過去有否接受過有關衍生工具及結構性投資產品的培訓或修讀相關課程?

Yes. Details of the relevant training or course are as follows 是。相關培訓或課程的詳情如下:

Name of courses/seminars 課程名稱: \_\_\_\_\_

Date 受訓或修讀日期: \_\_\_\_\_

No 否

(ii) Have you ever obtained any working experience related to derivative and structured investment products?

您現時或過去有否參與衍生工具及結構性投資產品有關的工作?

Yes. Details are as follows 是。詳情如下:

Position 職位: \_\_\_\_\_

Years of Experience 經驗年數: \_\_\_\_\_

No 否

(iii) Have you executed 5 or more transactions related to derivatives and structured investment products over the past 3 years?

您於過去 3 年中是否曾執行 5 宗或以上與衍生工具及結構性投資產品有關之交易?

Yes 是

No 否

If you answer "yes" in any question above, you will be classified as having general knowledge of derivative and structured investment products. Would you wish to trade derivatives and structured investment products with GSIL?

如您於上述任何一條問題回答「是」，將會被視作對衍生工具及結構性投資產品有一般認識。請問您是否有意於基業投資買賣有關產品?

Yes 是

No 否

If you answer "no" to all the questions above, you will be classified as having no general knowledge in derivative and structured investment products. Would you still wish to trade derivative and structured investment products?

如您於上述全部問題回答「否」，將會被視作對衍生工具及結構性投資產品沒有認識。請問您是否仍有意於基業投資買賣有關產品?

Yes 是

No 否

If you have no relevant knowledge of derivative and structured investment products but wish to trade these products, you are required to watch the educational video provided by GSIL on the "Nature and Risks of Derivatives Products and Structured Investment Products" (the "Educational Video") prior to the first time trading of these products.

如您沒有衍生工具及結構性投資產品的知識，但有意買賣有關產品；您在首次交易前，必須觀看由基業投資提供的衍生產品及結構性產品的特性及風險教育影像(下稱「教育影像」)。

I/We confirm that I/we have watched the Educational Video on \_\_\_\_\_<sup>8</sup> and I/we have fully understood the characteristics and relevant risks therein.

本人/吾等確認在 \_\_\_\_\_<sup>9</sup> 已觀看教育影像並清楚明白有關衍生工具及結構性產品的特性及相關風險。

<sup>8</sup> Please insert date.

<sup>9</sup> 請填上日期。

## 6. Disclosure of Identity 身份披露

- (i) Are you the ultimate beneficial owner of the account(s) 您是否帳戶之最終實益擁有人?  
 Yes 是  
 No. The ultimate beneficial owner is 否。最終實益擁有人為:  
  
Name 姓名: \_\_\_\_\_  
HKID/Passport/CI/BR No. 身份證/護照/公司註冊/商業登記號碼: \_\_\_\_\_  
Address 地址: \_\_\_\_\_  
Telephone No. 電話號碼: \_\_\_\_\_
- (ii) Are you an employee of any Licensed Corporation or Registered Institution of the SFC<sup>10</sup> in Hong Kong<sup>11</sup>?  
您是否香港<sup>12</sup> 證監會<sup>13</sup>的任何持牌法團/註冊機構的僱員?  
 No 否  
 Yes. Details are as follows 是。詳細資料如下:  
  
Name of Licensed Corporation/Registered Institution 持牌法團或註冊機構名稱:<sup>14</sup>  
\_\_\_\_\_
- (iii) Are you a Licensed person or Registered Person of the SFC?  
您是否證監會的持牌人仕/註冊人仕?  
 No 否<sup>15</sup>  
 Yes 是  
  
Central Entity/Registration No. 中央/註冊編號: \_\_\_\_\_
- (iv) Have you ever had any investment account opening application rejected by other financial institution?  
您是否曾被其他金融機構拒絕開立戶口?  
 No 否  
 Yes. Details are as follows 是。詳細資料如下:  
  
Name of Financial Institution 金融機構名稱: \_\_\_\_\_  
Reason of Reject 拒絕原因: \_\_\_\_\_
- (v) Are you, your spouse, partner, children, parents, spouse or partner of your children, entrusted with a prominent public function in any place, including a head of state, head of government, senior politician, judicial or military official, senior executive of a state-owned corporation and an important political party official?  
您、您之配偶、伴侶，或父母，或您的子女的配偶或伴侶是否在任何地方擔任或曾擔任重要公職，包括國家元首、政府首長、資深從政者、司法或軍事官員，國有企業高級行政人員及重要政黨幹事?  
 No 否  
 Yes. Details are as follows 是。詳細資料如下:  
  
Name and Position of PEP<sup>16</sup> 政治人物姓名及職位: \_\_\_\_\_  
Country of the PEP belongs to 政治人物所屬國家: \_\_\_\_\_  
PEP relationship with Client 與客戶之關係: \_\_\_\_\_

<sup>10</sup> "SFC" means the Securities and Futures Commission.

<sup>11</sup> "Hong Kong" means the Hong Kong Special Administrative Region of the People's Republic of China.

<sup>12</sup> 「香港」指中華人民共和國香港特別行政區。

<sup>13</sup> 「證監會」指證券及期貨事務監察委員會。

<sup>14</sup> Please provide written consent letter from your employer. 請提供閣下僱主的書面同意書。

<sup>15</sup> The Client undertakes to promptly notify GSIL if the Client becomes employed by any licensed or registered person to carry out regulated activities within the meaning of the Securities and Futures Ordinance. 如客戶受聘於任何已獲證監會發牌或註冊人仕，從事有關證券及期貨例的活動，客戶承諾會即時通知基業投資。

<sup>16</sup> "PEP" means Politically Exposed Person.



## 7. Tax Residency Self-Certification 稅務居民身分自我證明書

**WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. HKD10,000.00).**

**警告: 根據《稅務條例》第 80(2E)條, 如任何人在作出自我證明時, 在明知一項陳述在要項上屬具誤導性、虛假或不正確, 或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下, 作出該項陳述, 即屬犯罪。一經定罪, 可處第 3 級(即\$10,000)罰款。**

Jurisdiction of Residence 居留司法管轄區 <sup>17</sup>	TIN 稅務編號 <sup>18</sup>	Reason Code* for no TIN 如沒有提供稅務編號, 請填寫理由代碼*	Please provide explanation if selected "B" 如選取理由 B, 請解釋不能取得稅務編號的原因

\* Reason Code 理由代碼:

**Reason A:** The jurisdiction where the Client is a resident for tax purposes does not issue TINs to its residents.

**理由 A:** 客戶的居留司法管轄區並沒有向其居民發出稅務編號。

**Reason B:** Client is unable to obtain a TIN. Please give explanation if you have selected this reason.

**理由 B:** 客戶不能取得稅務編號。如選取這一理由, 請解釋原因。

**Reason C:** Tin is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.

**理由 C:** 客戶毋須提供稅務編號。居留司法管轄區的主管機關不需要客戶披露稅務編號。

## 8. Foreign Account Tax Compliance Act "FATCA" 關於海外帳戶稅收合規法案

(i) Are you a citizen of US<sup>19</sup> or a resident (Green Card holder) in the US for tax purposes?

您是否美國<sup>20</sup>公民, 或是有美國繳稅義務之美國居民(綠咭持有人)?

No 否

Yes 是 (Please complete Form W-9 of IRS 請填寫美國稅務局發出之 W-9 表格)

Client's US Taxpayer Identification Number (TIN) 客戶的美國稅務編號 (TIN): \_\_\_\_\_

(ii) Is your/Are you having (i) place of birth is US; (ii) resident or mailing address is US; (iii) US telephone number as contact number; (iv) standing instruction to transfer funds to a US based account; (v) power of attorney or signatory authority granted to person with US address; or (vi) in care-of or hold mail address that is sole address of account holder?

您是否 (i) 於美國境內出生; (ii) 於美國境內居住或以美國地址為郵寄地址; (iii) 以美國電話為聯絡號碼; (iv) 設有常設授權以劃撥資金予美籍人仕; (v) 設有帳戶操作/簽署授權予美籍人仕; 或 (vi) 以美國地址以託收信件?

No 否

Yes 是 (Please complete Form W-8Ben of IRS 請填寫美國稅務局發出之 W-8Ben 表格)

Client agrees GSIL to provide his/her personal information in relation to US tax obligations to the US tax authority.

客戶同意基業投資向美國稅務機構提供有關美國稅務責任之個人資料。

Client will immediate update GSIL if there is any change of the information and complete additional forms and provide additional information and documents at GSIL's request in support of the change.

若客戶的資料出現任何變動, 客戶會立即通知基業投資, 並且按照基業投資之要求填寫額外的表格, 及提供額外資料和文件, 以證明該項變更。

<sup>17</sup> The jurisdiction of residence (including Hong Kong) where Client is a **resident for tax purposes**. 客戶的居留司法管轄區, 亦即帳戶持有人的**稅務管轄區**(香港包括在內)。

<sup>18</sup> Client's TIN for each jurisdiction indicated. Indicate **all** jurisdictions of residence. If the Client is a tax resident of Hong Kong, the TIN is the HKID No. 該居留司法管轄區發給客戶的稅務編號。列出**所有**居留司法管轄區。如客戶是香港稅務居民, 稅務編號是其香港身份證號碼。

<sup>19</sup> "US" means the United States of America.

<sup>20</sup> 「美國」指美利堅合眾國。

## 9. Client's Declaration and Agreement 客戶聲明及同意書

1. I/We hereby declare that the information given above is true, correct and complete and I/we have not willfully withheld any material fact(s), I/we authorize GSIL to confirm this from any source appropriate, including the conduct of any credit checks on me/us. I/We understand that I/we may be required to provide additional information or submit documentary proof as to the information provided in this Account Opening Form when requested by GSIL. I/We confirm that I/we will update GSIL immediately on any changes.  
本人/吾等謹此聲明，上述資料乃屬真屬正確及完整，本人/吾等授權基業投資進行適當的資料來源查證，包括進行任何對於本人/吾等的信貸檢查。除上述提供的資料外，本人/吾等清楚基業投資也許要求本人/吾等提供更多相關的資料或證明文件。本人/吾等確認如所提供之資料有任何更改，均會立刻通知基業投資。
2. I/We acknowledge and confirm that I/we have received the “Terms and Conditions for Securities Trading Accounts” (the “Terms and Conditions”) including but not limited to the Risk Disclosure Statements set out therein, was provided to me/us in a language of my/our choice (English or Chinese) and I was/we were invited to read the Risk Disclosure Statements carefully, ask questions and take independent advice if I/we wish.  
本人/吾等謹此承認及確認，本人/吾等已獲得本人/吾等所選擇的語言(中文或英文)的「證券交易帳戶條款及條件」(下稱「條款及條件」)，當中包括但不限於載於該條款及條件中的風險披露聲明，以及本人/吾等已獲邀請細閱該風險披露聲明、提出問題及徵求獨立的意見(如本人/吾等有此意願)。
3. I/We hereby confirm that I/we have read and understood the terms and conditions set out in this Account Opening Form, the Terms and Conditions and the GSIL's Personal data Privacy Policy. I/We acknowledge that all of these terms and conditions form the agreement made between GSIL and me/us in relation to the account(s) and agree to be bound by them. GSIL may amend the Terms and Conditions from time to time by giving me/us notice of such amendment. Unless GSIL has received my/our request to close the account(s), if I/we continue to use the account(s) I/we shall be deemed to have accepted such changes.  
本人/吾等謹此確認，本人/吾等已經閱讀並明白載於本開戶申請表格、條款及條件及有關基業投資的私隱政策。本人/吾等承認，上述所有條款及條件構成基業投資與本人/吾等就該帳戶達成之協議並同意受該等條款及條件所約束。基業投資有權不時修訂條款及條件，並向本人/吾等發出通知，除非基業投資收到本人/吾等通知取消帳戶，否則本人/吾等繼續使用帳戶即表示本人/吾等接納該修訂條款及條件。
4. I/We hereby confirm that the above information provided in relation to “Knowledge of Derivatives Product” is true and complete. I/We also understand that GSIL will rely on the above information provided to assess whether I/we have acquired knowledge of derivative products in order to comply with relevant regulatory requirements of the Code of Conduct for Persons Licensed by or Registered with the SFC.  
本人/吾等確認上述有關「衍生產品的認識」之資料完全真實，並明白基業投資將會根據上述資料界定本人/吾等是否擁有對衍生產品之認識，以符合證監員會持牌人或註冊人操守準則之有關監管要求。
5. I/We understand, acknowledge and agree that the personal data and information of me/us and the transaction record(s) may be disclosed to the competent authority of other jurisdictions including, without limitation, the competent authority of US where the circumstances require.  
本人/吾等明白、確認及同意，如有需要，本人/吾等之個人資料及資訊及交易紀錄或須披露予其他司法管轄區的主管當局，包括但不限於美國主管當局。
6. I/We acknowledge and agree that (a) the information contained in the Tax Residency Self-Certification is collected and may be kept by GSIL for the purpose of automatic exchange of financial account information, and (b) such information and information regarding me/us and any reportable account(s) may be reported by GSIL to the Inland Revenue Department of Hong Kong and exchanged with tax authorities of another jurisdiction or jurisdictions in which the account holder may be resident for tax purposes pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap. 112).  
本人/吾等知悉及同意，基業投資可根據《稅務條例》(第 112 章)有關交換財務帳戶資料的法律條文，(a)收集稅務居民身分自我證明書所載資料並可備存作自動交換財務帳戶資料用途及(b)把該等資料及關於本人/吾等及任何須申報帳戶的資料向香港稅務局申報，從而把資料轉交到帳戶持有人的居留司法管轄區的稅務當局。

7. I/We certify that I am/we are  the account holder  authorized to sign for the account holder of all the account(s) to which the Tax Residency Self-Certification relates.  
本人證明，就稅務居民身分自我證明書所有相關的帳戶，本人是  帳戶持有人  本人獲帳戶持有人授權簽署稅務居民身分自我證明書。
8.  I/We do not wish to receive any direct marketing materials or messages from GSIL.  
本人/吾等不欲收取基業投資的任何直銷推廣資料或訊息。
- I/We wish to receive any direct marketing materials or messages from GSIL by way of the following channel(s):-  
我(們)欲收取基業投資經以下途徑發出的任何直銷推廣資料或訊息：-
- Mail 郵寄  
 E-mail 電郵  
 Phone 電話  
 All channels 所有途徑
- (Please note that your above choice applies to the direct marketing of the classes of products, services and/or subjects as set out in “GSIL’s Personal Data Privacy Policy” (the “Notice”). Please also refer to the Notice on the kinds of personal data which may be used in direct marketing and the classes of persons to which your personal data may be provided for them to use in direct marketing.)**  
**(請注意您以上的選擇適用於基業投資「私隱政策」(下稱「該通告」)中所列出的產品、服務及/或標的類別的直接促銷。您亦可參閱該通告以得知在直接促銷中可使用的個人資料的種類，以及您的個人資料可提供予什麼類別的人士以供該等人士在直接促銷中使用。)**
9. I/We understand that GSIL reserves the unconditional right to reject my/our application.  
本人/吾等明白基業投資保留無條件拒絕本人/吾等開戶申請的權利。
10. This Account Opening Application is written in both English and Chinese languages, and in the case of discrepancy between the two versions, the English version shall prevail.  
本開戶申請表之英文版及中文譯本如有歧義，概以英文版本為準。

Signed by 簽署:

Signed by 簽署:

Signature of Individual/Primary Joint Account Holder

個人/基本聯名帳戶持有人

Name 姓名:

Date 日期:

Signature of Secondary Joint Account Holder

第二聯名帳戶持有人

Name 姓名:

Date 日期:

The undersigned hereby certifies the signing of this Account Opening Form by the Client(s); and the signing of the related identity documents of the Client(s).

以下簽署人特此核證客戶簽署本開戶申請表格；及見證客戶的有關身份證明文件。

Signature of Witness 見證人簽署:

Date 日期:

Full Name of Witness 見證人姓名:

Title 職稱:

CE No. 中央編號:

## 10. Declaration by Staff 員工聲明

I, \_\_\_\_\_ (in BLOCK LETTERS), a Licensed Representative of Gear Securities Investment Limited, hereby declare and confirm that I have provided the Terms and Conditions for Securities Trading Accounts and relevant Risk Disclosure Statement in a language of the Client's choice (English or Chinese) and have invited the Client to read the Agreements, ask questions and take independent advice if the client wishes.

本人，\_\_\_\_\_ (正楷字體) 為基業證券投資有限公司的持牌代表，並謹此聲明及確認本人已按照上述客戶所選擇的語言(中文或英文)提供證券交易帳戶條款及相關風險聲明書，請客戶閱讀協議書，並提出問題及徵求獨立的意見(如客戶有此意願)。

\_\_\_\_\_  
Signature of Licensed Representative  
持牌代表簽名

\_\_\_\_\_  
Name of Licensed Representative  
持牌代表姓名

\_\_\_\_\_  
Date  
日期

\_\_\_\_\_  
CE No.  
中央編號

### Documents required for individual account 個人帳戶需提供的文件

1. Copy of the HKID/Passport of Client 客戶之香港身份證/護照副本；及
2. Proof of Residential Address (e.g. bank statement, utility bill & so on) within 3 months. 最近三個月內之住址證明。

### FOR OFFICE USE ONLY 僅供本公司使用

Commission Distribution:

*\*Unless otherwise specified, commission shall be charged according to the Fees Schedule which are subject to change from time to time.*

	On transaction basis	
	HK Stock	Others ( )
Commission Rate		
Minimum Commission		
Trading Limit		
Credit Limit		

Sales Team	A/C received by: (Name of AE)	Initial:	Date:
	A/C checked by: (Name of Team Head)	Initial:	Date:
Operations	Data Inputted by:	Initial:	Date:
	Data Verified by:	Initial:	Date:
	Documents checked by:	Initial:	Date:
	A/C approved by:	Initial:	Date:
Compliance (High Risk Client Only)	A/C approved by:	Initial:	Date:

**MUST BE SIGNED BY SECURITIES MARGIN CLIENT**

**Client Securities Standing Authority**

To: Gear Securities Investment Limited  
7/F, China Paint Building,  
1163 Canton Road, Mongkok,  
Kowloon, Hong Kong

**Re: Standing Authority under the Securities and Futures (Client Securities) Rules**

This standing authority is in respect of the treatment of my/our securities or securities collateral as set out below:

Unless otherwise provided, all the terms used in this standing authority shall have the same meanings as in the Securities and Futures Ordinance and the Securities and Futures (Client Securities) Rules as amended from time to time.

To the fullest extent permitted by the applicable laws, rules and regulations, this standing authority authorizes Gear Securities Investment Limited (the "Company") to:

1. apply any of my/our securities or securities collateral pursuant to a securities borrowing and lending agreement;
2. deposit any of my/our securities collateral with an authorized financial institution as collateral for financial accommodation provide to the Company;
3. deposit any of my/our securities collateral with Hong Kong Securities Clearing Company Limited ("HKSCC") as collateral for the discharge and satisfaction of its settlement obligations and liabilities. I/We understand that HKSCC will have a first fixed charge over my/our securities to the extent of its obligations and liabilities;
4. deposit of my/our securities collateral with any other recognized clearing house, or another intermediary licensed or registered for dealing in securities, as collateral for the discharge and satisfaction of its settlement obligations and liabilities; and
5. apply or deposit any of my/our securities collateral in accordance with paragraphs (1), (2), (3) and/or (4) above if the Company provides financial accommodation to me/us in the course of dealing in securities and also provides financial accommodation to me/us in the course of any other regulated activity for which the Company is licensed or registered.

The Company is entitled to do any of above without giving me/us prior notice. I/We acknowledge that this standing authority shall not affect the right of the Company to dispose or initiate a disposal by its affiliates of my/our securities or securities collateral in settlement of any liability owed by or on behalf of me/us to the Company, its affiliates or a third person.

This standing authority is given to the Company in consideration of its agreeing to continue to maintain the securities margin account(s) for me/us.

This standing authority is valid for a period of not more than 12 months until the end of every year.

This standing authority may be revoked by giving the Company written notice addressed to the Customer Services Department at its address specified above by me/us subsequently. Such notice shall take effect upon the expiry of 14 days from the date of the Company actual receipt of such notice.

I/We understanding that this standing authority shall be deemed to be renewed on a continuing basis of further periods of not more than 12 months without my/our consent provided a written notification of renewal is issued to me/us at least 14 days before the expiry date of this standing authority, and I/we do not object to such deemed renewal before the expiry date.

This standing authority and the pledging practice of the Company have been explained to me/us and I/we understand and agree to the contents of this standing authority.

In the event of any difference in interpretation or meaning between the Chinese and English version of this standing authority, I/we agree that the English version shall prevail.

**證券保證金客戶必須簽署**

**客戶證券常設授權書**

致: 基業證券投資有限公司  
香港九龍旺角廣東道 1163 號中華漆廠大廈 7 樓

關於: 《證券及期貨(客戶證券)規則》項下的常設授權

本常設授權書是有關處置本人/吾等之證券或證券抵押品, 詳列如下:

除非另有規定, 本常設授權書之名詞與《證券及期貨條例》及《證券及期貨(客戶證券)規則》不時修定之定義是有相同意思。

於適用法律、規則及規例容許的最大範圍內, 本常設授權書授權基業證券投資有限公司(下稱「貴公司」):

1. 依據證券借貸協議運用任何本人/吾等的證券或證券抵押品;
2. 將任何本人/吾等的證券抵押品存放認可財務機構, 作為該機構向貴公司提供財務通融之抵押品;
3. 將任何本人/吾等的證券抵押品存放於香港中央結算有限公司(下稱「香港結算」)作為解除貴公司在交收上的法律責任的抵押品, 本人/吾等戶明白香港結算因應貴公司的責任及義務對吾等的證券設定第一固定押記;
4. 將任何本人/吾等的證券抵押品存於任何其他認可結算所或任何其他獲發牌或獲註冊進行證券交易的中介人, 作為解除貴公司在交收上的法律責任的抵押品; 及
5. 如貴公司在進行證券交易及貴公司獲發牌或獲註冊進行任何其他受規管活動的過程中向本人/吾等提供財務通融, 即可按照上述第(1)、第(2)、第(3)及/或第(4)段所述運用或存放何本人/吾等的證券抵押品。

貴公司可不向本人/吾等發出事先通知而採取上述行動。本人/吾等確認本常設授權書不影響貴本公司為解除由本人/吾等或代本人/吾等或證券抵押品的權利。

此賦予貴公司之授權乃鑑於貴公司同意繼續維持本人/吾等之證券保證金戶口。

本人/吾等明白本人/吾等的證券可能受制於第三者之權利，貴公司須全數抵償該等權利後，方可將本人/吾等的證券退回給本人/吾等。

本常設授權書之有效期為不多於 12 個月，並於每年 12 月 31 日屆滿。

本人/吾等可以向貴公司客戶服務部位於上述列明之地址發出通知，撤回本常設授權書。該等通知之生效日期為貴公司真正收到該等通知後 14 日起計。

本人/吾等明白貴公司若在本常設授權書有效屆滿前的最少 14 日前，向本人/吾等發出書面通告，提醒本人/吾等本常設授權書即將屆滿，而本人/吾等沒有在此授權屆滿前反對此常設授權書續期，本常設授權書應當作在不需要本人/吾等的書面同意下按持續的基準已被續期，每一延續有效期為 12 個月。

本常設授權書內容及貴公司再質押的作業方式已向本人/吾等解釋及說明，而本人/吾等完全明白及同意本常設授權書的內容。

倘若本常設授權書的英文本與中文釋本有任何歧義，本人/吾等同意以英文本為準。

---

**Client's Signature(s)**

客戶簽署

**Client Name(s):**

客戶姓名:

**Client Account No.:**

客戶帳戶號碼:

**Date (dd/mm/yyyy):**

日期 (日/月/年)

## Client Money Standing Authority

To: Gear Securities Investment Limited  
7/F, China Paint Building,  
1163 Canton Road, Mongkok,  
Kowloon, Hong Kong

### Re: Standing Authority under Securities and Futures (Client Money) Rules

This standing authority covers money held or received by Gear Securities Investment Limited (the "Company") in Hong Kong (including any interest derived from the holding of the money which does not belong to the Company) in one or more segregated account(s) on my/our behalf ("Monies").

Unless otherwise provided, all the terms used in this Standing Authority shall have the same meanings as in the Securities and Futures Ordinance and the Securities and Futures (Client Money) Rules as amended from time to time.

To the fullest extent permitted by the applicable laws, rules and regulations, this standing authority authorize the Company to:

1. combine or consolidate any or all segregated accounts, of any nature whatsoever and either individually or jointly with others, maintained by the Company or any its Affiliates from time to time and the Company may transfer any sum of Monies to and between such segregated account(s) to satisfy our obligations or liabilities to the Company or any its affiliates, whether such obligations and liabilities are actual, contingent, primary or collateral, secured or unsecured, or joint or several;
2. set-off or transfer any sum of Monies interchangeably between any of the segregated accounts maintained at any time by the Company; and
3. exchange my/our Monies into any other currency(ies) at the rate of exchange conclusively determined by the Company.

The Company is entitled to do any of the above without giving me/us prior notice.

This standing authority is given to the Company in consideration of its agreeing to continue to maintain my/our securities cash and/or margin account(s).

This standing authority is given without prejudice to the Company's authorities or rights to deal with the Monies in the segregated account(s).

This standing authority is valid for a period of not more than 12 months until the end of every year.

This standing authority may be revoked by giving the Company written notice addressed to the Customer Services Department at its address specified above by me/us subsequently. Such notice shall take effect upon the expiry of 14 days from the date of the Company actual receipt of such notice.

I/We understand that this standing authority shall be deemed to be renewed on a continuing basis of future periods of not more than 12 months without my/our consent provided a written notification of renewal is issued to us at least 14 days before the expiry date of this standing authority, and I/we do not object to such deemed renewal before the expiry date.

This standing authority has been explained to me/us and I/we understand and agree to the contents of this standing authority.

In the event of any difference in interpretation or meaning between the English and Chinese version of this standing authority, I/we agree that the English version shall prevail.

---

## 客戶款項常設授權書

致: 基業證券投資有限公司  
香港九龍旺角廣東道 1163 號中華漆廠大廈 7 樓

### 關於:《證券及期貨(客戶款項)規則》項下的常設授權

本常設授權書涵蓋基業證券投資有限公司(下稱「貴公司」)為本人/吾等在香港收取或持有並存放於一個或多個獨立帳戶內的款項(包括因持有並非屬於貴公司的款項而產生的任何利息)(下稱「款項」)。

除非另有規定,本常設授權書之名詞與《證券及期貨條例》及《證券及期貨(客戶款項)規則》不時修訂之定義具有相同意思。

於適用法律、規則及規例容許的最大範圍內,本常設授權書授權貴公司:

1. 可組合或合併全部不時在貴公司以任何形式維持的獨立、聯名或其他帳戶,貴公司可將該等獨立帳戶內的任何數額的款項作出轉移,以解除本人/吾等對貴公司的義務或法律責任,不論此等義務或法律責任是確實或或然、原有或附帶的、有抵押或無抵押的、共同或分別的;
2. 任何貴公司於任何時候維持的任何獨立帳戶之間來回撤銷或調動;及
3. 貴公司可不需要在事前知會本人/吾等,將帳內的款項以貴公司最終確定的匯率兌換成任何貨幣。貴公司可不向本人/吾等發出通知而採取上述行動。

貴公司有權於毋須事先通知本人/吾等的情况下作出上述任何一項作為。

本常設授權書賦予貴公司之授權乃鑑於同意繼續維持本人/吾等之證券現金帳戶/保證金帳戶。

本常設授權書賦予貴公司之授權並不損害貴公司可享有有關處理該等獨立帳戶內的款項的其他授權或權利。

本常設授權書之有效期為不多於 12 個月,並於每年 12 月 31 日屆滿。

本人/吾等可以向貴公司客戶服務部位於上述列明之地址發出通知,撤回本常設授權書。該等通知之生效日期為貴公司真正收到該等通知後 14 日起計。

本人/吾等明白貴公司若在本常設授權書有效屆滿前的最少 14 日前,向本人/吾等發出書面通告,提醒本人/吾等本常設授權書即將屆滿,而

本人/吾等沒有在本常設授權書屆滿前反對此授權續期，本常設授權書應當作在不需要本人/吾等的書面同意下按持續的基準已被續期，每一延續有效期為 12 個月。

本常設授權書已經向本人/吾等解釋及說明，而本人/吾等完全明白及同意本常設授權書的內容。

倘若本常設授權書的英文本與中文譯本有任何歧義，本人/吾等同意以英文本為準。

---

**Client Signature(s)**

客戶簽署:

**Client Name**

客戶名稱:

**Client No.**

客戶帳戶號碼:

**Date (dd/mm/yyyy)**

日期 (日/月/年):