

# ACCOUNT OPENING INFORMATION FORM FOR CORPORATE ACCOUNT

## 公司賬戶開戶資料表格

Account Type 賬戶類型: <input type="checkbox"/> Securities Cash Account 證券現金賬戶 <input type="checkbox"/> Securities Margin Account 證券保證金賬戶
Securities Custody Services 證券託管服務: <input type="checkbox"/> Yes 需要 <input type="checkbox"/> No 不需要

<b>Client Details 客戶資料</b>			
Company name (the "Client") (Note1) 公司名稱("客戶") (附注1)		English 英文: _____ Chinese 中文: _____	
Nature of business 業務性質:		Business registration No. 商業登記證號碼:	
Date and place of incorporation 註冊成立日期及地點:		Certificate of Incorporation No. 公司註冊證書號碼:	
Authorised capital 法定資本:		Paid up capital 已繳股款的股本:	
Registered Office Address (Note2) 註冊地址 (附注2)			
Business address (If different) 營業地址 (如與註冊地址不同)			
Telephone No. 電話號碼:		Fax No. 傳真號碼:	
Bank Account 銀行賬戶	Bank Name 銀行名稱	Account No. 賬戶號碼	
Method of Statement (Note3) 結單收取方式 (附注3)	<input type="checkbox"/> E-Mail 電郵 _____ <input type="checkbox"/> Registered Office 註冊地址 <input type="checkbox"/> Business Address 營業地址 <input type="checkbox"/> Others – Please specify 其他 - 請註明 _____		
結單語言 Statement Language	<input type="checkbox"/> Chinese 中文 <input type="checkbox"/> English 英文		
<b>Authorized signatory(ies) 獲授權簽署人</b>			
Authorized person's name 獲授權人之姓名	Passport/HKID No. 護照/身份證號碼:		Specimen 簽名式樣:
Signing instruction 簽署指示 Any _____ of the authorized persons; With Company chop 公司印章: <input type="checkbox"/> Yes 需要 <input type="checkbox"/> No 不需要		Specimen of Company Chop 公司印章式樣	
<b>Particulars of Directors (Individual) 董事資訊 (個人)</b>			
① Full Name (English & Chinese) 全名 (英文及中文)		Passport/ HKID No. 護照/身份證號碼	
Residential address 住址:			
② Full Name (English & Chinese) 全名 (英文及中文)		Passport/ HKID No. 護照/身份證號碼	
Residential address 住址:			
③ Full Name (English & Chinese) 全名 (英文及中文)		Passport/ HKID No. 護照/身份證號碼	
Residential address 住址:			
④ Full Name (English & Chinese) 全名 (英文及中文)		Passport/ HKID No. 護照/身份證號碼	
Residential address 住址:			
⑤ Full Name (English & Chinese) 全名 (英文及中文)		Passport/ HKID No. 護照/身份證號碼	
Residential address 住址:			
<b>Particulars of Directors (Corporate) 董事資訊 (公司)</b>			
Company Name (English & Chinese) 公司名稱 (英文及中文)			
Date and place of incorporation 註冊成立日期及地點:		Certificate of Incorporation No. 公司註冊證書號碼:	
Registered Office Address 註冊地址			

Company Name (English & Chinese) 公司名稱 (英文及中文)			
Date and place of incorporation 註冊成立日期及地點:		Certificate of Incorporation No. 公司註冊證書號碼:	
Registered Office Address 註冊地址			

**Beneficial Owner(s) of the Account (N.A to public listed company) 賬戶實益擁有人資料 (不適用於上市公司)**

①Name (English & Chinese) 名字 (英文及中文)		Passport/HKID No. 護照/身份證號碼:	
Date of Birth 出生日期	____ Year 年 ____ M 月 ____ D 日	Nationality 國籍	
% of Shareholding/Control 股權/控制權百分比		US Tax Resident 美國稅務居民	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
Residential Address 住宅地址			
Correspondence Address 通訊地址			
②Name (English & Chinese) 名字 (英文及中文)		Passport/HKID No. 護照/身份證號碼:	
Date of Birth 出生日期	____ Year 年 ____ M 月 ____ D 日	Nationality 國籍	
% of Shareholding/Control 股權/控制權百分比		US Tax Resident 美國稅務居民	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
Residential Address 住宅地址			
Correspondence Address 通訊地址			
③Name (English & Chinese) 名字 (英文及中文)		Passport/HKID No. 護照/身份證號碼:	
Date of Birth 出生日期	____ Year 年 ____ M 月 ____ D 日	Nationality 國籍	
% of Shareholding/Control 股權/控制權百分比		US Tax Resident 美國稅務居民	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
Residential Address 住宅地址			
Correspondence Address 通訊地址			

**Financial Information 財務資料**

Annual profit after tax 全年除稅後利潤	<input type="checkbox"/> < HKD250,000 <input type="checkbox"/> HKD250,000 – HKD1,000,000 <input type="checkbox"/> HKD1,000,001 – HKD2,000,000
Net Assets 淨資產	<input type="checkbox"/> < HKD1,000,000 <input type="checkbox"/> HKD1,000,000 – HKD5,000,000 <input type="checkbox"/> HKD5,000,001 – HKD10,000,000 <input type="checkbox"/> ≥ HKD10,000,001

**Investment objectives & Experience 投資目的及經驗**

Investment Experience 投資目的	<input type="checkbox"/> Capital appreciation 資產增值 <input type="checkbox"/> Collect regular income 收取經常性收益 <input type="checkbox"/> Speculation 投機 <input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Others 其他 _____
Securities/Warrants 股票/認股權證	<input type="checkbox"/> None 沒有經驗 <input type="checkbox"/> <1 Year 1 年以內 <input type="checkbox"/> 1-3Year 1-3 年 <input type="checkbox"/> 3-5Year 3-5 年 <input type="checkbox"/> 5-10Year 5-10 年 <input type="checkbox"/> >10Year 10 年以上
Bond/Fix Income 債券/固定收益產品	<input type="checkbox"/> None 沒有經驗 <input type="checkbox"/> <1 Year 1 年以內 <input type="checkbox"/> 1-3Year 1-3 年 <input type="checkbox"/> 3-5Year 3-5 年 <input type="checkbox"/> 5-10Year 5-10 年 <input type="checkbox"/> >10Year 10 年以上
Futures/Option 期貨/期權	<input type="checkbox"/> None 沒有經驗 <input type="checkbox"/> <1 Year 1 年以內 <input type="checkbox"/> 1-3Year 1-3 年 <input type="checkbox"/> 3-5Year 3-5 年 <input type="checkbox"/> 5-10Year 5-10 年 <input type="checkbox"/> >10Year 10 年以上

**Declaration By Client 客戶聲明**

Is your company the ultimate beneficial owner of the account? (e.g. Is your company acting for its own account and not for a third party?)  
貴公司是否賬戶之最終實益擁有人? (例如:貴公司是否代表本身行事而不是代表第三方行事)

☐ Yes 是 ☐ No, details of the ultimate beneficial owner(s) is/are 否, 最終實益擁有人之詳情為:  
Name 姓名: \_\_\_\_\_  
Address 地址: \_\_\_\_\_  
Passport / ID / CI / BR No. & Place of issue 護照號碼/身份證號碼/公司註冊證書/商業登記證及簽發地: \_\_\_\_\_

Is any of your company's directors or shareholders an employee or agent of an exchange participant of a stock/futures exchange, or a securities/futures dealer or investment adviser registered with the Securities & Futures Commission?  
貴公司之任何董事或股東是否證券及期貨交易所參與者, 或證券及期貨事務監察委員會註冊之證券或期貨交易所或投資顧問之僱員或代理人?  
☐ No 否 ☐ Yes, the name of the related exchange participant or registered person is 是, 有關之交易所參與者或註冊人為: \_\_\_\_\_

The director(s) or shareholder(s) concerned consent(s) to FISF contacting his / her / their employer(s) in relation to the opening of the company's Account.  
有關之董事或股東同意富冊就有關開立公司帳戶接觸有關之董事或股東之僱主。

Is any of your company's directors or shareholders an employee or agent or the relative of them of FISF or its associated companies? (Note8)  
貴公司之任何董事或股東是否富冊或其附屬公司之僱員或代理人或之親屬？（附注 8）

☐ No 否 ☐ Yes, please specify 是，請註明：  
\_\_\_\_\_

Does your company has a CCASS Investor Account or is your company a CCASS participant ?(Note5)  
貴公司是否擁有中央結算系統投資者賬戶或是否中央結算系統參與者？（附注 5）

☐ No 否 ☐ Yes, the account number is 是，賬戶號碼為：\_\_\_\_\_

Does your company has any other account with FISF?  
貴公司是否在富冊擁有其他賬戶？

☐ No 否 ☐ Yes. Details are 是，詳情為：

Account name 賬戶名稱：\_\_\_\_\_

Account number 賬戶號碼：\_\_\_\_\_

In compliance with the Securities and Futures Ordinance, I/We Confirm that, we are members of the same group of companies as another margin client of FISF.

為了遵守及符合證券及期貨條例，本人/吾等確認，吾等為另一位富冊孖展客戶之公司集團中的成員公司。

☐ No 否 ☐ Yes. Details are 是，詳情為：

Account name 賬戶名稱：\_\_\_\_\_

Account number 賬戶號碼：\_\_\_\_\_

### **Cognitive evaluation of derivative investment products 衍生投資產品的認知評估**

Do you have undergone training or attended courses which provided knowledge of the nature and risks of derivative products?

閣下是否曾接受有關衍生產品之性質及風險的培訓或修讀相關課程？

☐ Yes 是 ☐ No 否

Do you have current or previous work experience related to derivative products?

閣下現時或過去擁有與衍生產品有關的工作經驗。

☐ Yes 是 ☐ No 否

Do you have executed five or more transactions within the past three years in derivative products?

閣下於過去 3 年曾執行 5 次或以上有關衍生產品的交易？

☐ Yes 是 ☐ No 否

### **Standing Authority (Client Securities) 常設授權（客戶證券）**

We hereby authorize FISF to deal with my securities and securities collateral from time to time purchased or held by FISF on our behalf in one or more of the following ways without further notice to or consent from us.

- i. to apply any of my securities or securities collateral to a securities borrowing and lending agreement;
- ii. to deposit any of the securities collateral with an authorized financial institution as collateral for financial accommodation provided to FISF;
- iii. to deposit any of the securities collateral with any clearing house recognized under the Securities and Futures Ordinance (such as the HKSCC) or another intermediary licensed or registered for dealing in securities as collateral for the discharge and satisfaction of FISF's clearing and settlement obligations and liabilities; and
- iv. to treat and deal with the securities and securities collateral in such manner as you consider appropriate taking into account any applicable legal or regulatory requirement from time to time.

2. We hereby acknowledge, and confirm having been informed by FISF, that FISF has the practice of repledging clients' securities and securities collateral.

3. This Authority is given to FISF in consideration of you agreeing to continue to maintain the Account for us.

4. This Authority does not cover any consideration. we must pay or be paid for the borrowing, lending or depositing any of the securities of ours. Any such consideration must be set in a separate agreement between us and FISF.

5. We declare, undertake and warrant that we have the absolute ownership of our securities free from all liens, charges and encumbrances during the continuance in force of this Authority.

6. We understand that a third party may have rights to my securities, which FISF must satisfy before our securities can be returned to us.

7. This Authority is valid for a period of up to 12 months from the date of us signing this Account Opening Application Form and may be renewed on a continuing basis for subsequent periods of not exceeding 12 months if we are given a written notice from FISF at least 14 days prior to the expiry of such authority and we do not object to the renewal of such authority before its expiry.

This Authority may be revoked at any time on giving 30 days prior written notice to FISF. Such revocation shall not take effect until 30 days after the day of actual receipt by FISF of such written notice and it shall not affect any transaction undertaken by FISF pursuant to this Authority prior to the effective day of revocation.

8. We hereby agree to indemnify and to keep indemnified, FISF from and against all losses, damages, interests, costs, expenses, actions, demands, claims or proceedings of whatsoever nature which they (or any of them) may incur, suffer and/or sustain as a consequence of any transaction undertaken in pursuance of this Authority.

9. In the event of any difference in interpretation or meaning between the English and Chinese versions of this Authority, we agree that the English version shall prevail.

10. We confirm that this Authority has been explained to me and we fully understand the contents of this Authority and have sought, or have had the opportunity to seek, legal advice concerning its contents and effect. 11. We understand that we are not required by any law to sign this authority but it may be required by FISF, for example, to facilitate margin lending to us or to allow our securities or securities collateral to be lent to or deposited as collateral with third parties. We also understand that if I sign this authority and our securities or securities collateral are lent to or deposited with third parties, FISF shall remain responsible to us for securities or securities collateral lent or deposited under our authority, a default by FISF could result in the loss of our securities or securities collateral. We agree and confirm that FISF and its associated entities shall be entitled to receive and retain for their own benefit and not be accountable to us for any remuneration, income, rebates or other benefits resulting from any dealing with our securities or securities collateral.

本司同意並授權富冊，以下列一種或多於一種方式處理不時由富冊代本司購入或持有的證券及證券抵押品，毋須進一步通知本司或取得本司的同意：

- I 依據證券借貸協議運用任何有關證券或證券抵押品；
- II 將任何有關證券抵押品存放於認可財務機構，作為提供予富冊的財務通融抵押品；
- III 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中中介人，作為解除富冊在交收上的義務和清償富冊在交收上的法律責任的抵押品；及
- IV 於顧及任何適用的法律或監管要求的情況下，以富冊認為適當的方式對待及處理有關證券及證券抵押品。

本司獲悉及確認富冊將客戶的證券及抵押品再質押的做法。

此賦予富冊之授權乃鑒於貴行同意繼續維持本司之戶口。

本常設授權並不涵蓋任何代價。本常設授權並不涵蓋富冊借入、貸出或存放本司任何證券而須支付或收取的任何代價。任何代價均須由本司與富冊另行簽約訂明。

本司聲明、承諾及保證，在本授權持續有效期間，本司擁有本司的證券的絕對擁有權，且不附帶任何留置權、押記或產權負擔。本司的證券可能受制於第三者之權利，富冊必須於抵償該等權利後，方將本司的證券交還本司。

本常設授權以本司簽署本開戶申請表的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：富冊於該授權有效屆滿前不少於14日向本司發出書面通知，而本司於該授權有效期屆滿前未有提出反對續期。本司有權隨時以30天書面通知富冊撤銷此常設授權書。該項撤銷於富冊確實收到撤銷的書面通知當日後第30日生效，而且富冊按本授權在撤銷生效前所達成的任何交易均不受該項撤銷所影響。

本司謹此同意就富冊因執行本授權而可能產生，蒙受及/或承受的一切虧損、損失、利息、費用、開支、法律訴訟、索求、申索或任何性質的程式向上述公司作出賠償及持續賠償。

如本授權中、英文版本在釋義或意思上有不相同，本司同意以英文版本為準。

本司確認本授權的內容已向本司解釋，本司亦完全明白本授權的內容，並已經或有機會就其內容及效力尋求法律顧問的意見。

本司明白現時無任何法例規定本司必須簽署此授權書；然而，富冊可能需要此授權書，以便例如向本司提供保證金貸款或獲許將有關本司的證券或證券抵押品借出予第三方或作為抵押品存放於第三方，該等第三方將對本司的證券或證券抵押品具有留置權或作出押記。雖然富冊根據本司的授權而借出或存放屬於本司的證券或抵押品須對本司負責，但富冊的失責行為可能導致本司損失本司的證券或抵押品。本司同意並確認富冊有權收取及保留任何由於處置本司的證券或證券抵押品所產生的任何報酬、收入、回佣或其他利益而無須向本司負責。

#### **Standing Authority (Client monies) 常設授權 (客戶款項)**

We hereby declare, acknowledge, confirm and agree that,

This standing authority ( " Authority " ) covers money held or received by FTFT International Securities And Futures Limited ( " FISF " ) (including any interest derived from the holding of the money which does not belong to FISF) in any account maintained by us with FISF, the net equity balance of which exceeds the minimum margin requirements affecting us or that account, as may from time to time be prescribed by law or any relevant regulatory authority (the " Monies " ).

Unless the context otherwise requires, all the expressions used in this Authority shall have the same meanings as ascribed thereto in the Securities and Futures Ordinance and the Securities and Futures (Client Money) Rules as amended from time to time.

This Authority authorizes FISF, in its sole discretion, without having to provide us with any prior notice or to obtain the prior confirmation of us and/or direction, to transfer from such account the whole or any part of the Monies,

- (1) into any segregated accounts opened and maintained by us with FISF or any company or companies within the group of companies (as defined in the Company Ordinance to which FISF belongs (the " Group " )) for the purpose of satisfying our obligations or liabilities to any member of the Group, whether such obligations and liabilities are actual, contingent, primary or collateral, secured or un secured, or joint or several;
- (2) interchangeably between any of the said segregated account(s); and
- (3) into our designated bank account.

This Authority is given without prejudice to other authorities or rights which the Group may have in relation to dealing in the Monies in the segregated accounts.

This Authority is valid for twelve (12) months from the date hereof and expires on the 31<sup>st</sup> day of December of the current year and may be revoked by us at any time by serving to FISF to which it was originally given, written notice to that effect. Such revocation shall not take effect until actual receipt by FISF of such written notice and shall not affect any transaction undertaken by FISF pursuant to this Authority prior to such revocation taking effect.

At least 14 days prior to the expiry of this authority, or on any other date as may be determined by FISF from time to time and notified to us in writing, FISF may give us a written notice reminding us the impending expiry of this Authority and informing us that if I do not object to the renewal, this authority shall be deemed to be renewed on a continuing basis on the same terms and conditions as specified herein for a period of 12 months until 31<sup>st</sup> December of the following year. FISF shall then give us a written confirmation of the renewal of the Authority.

In the event of any difference in interpretation or meaning between the English and Chinese Version of this Authority, we agree that the English version shall prevail.

We confirm that this Authority has been explained to us and we fully understand the contents of this Authority and have sought, or have had the opportunity to seek, legal advice concerning its contents and effect.

本司聲明、承認、確認並同意：

本授權涵蓋富冊國際證券期貨有限公司（“富冊”）為本司持有或收取並存放於本司所開立的戶口內的款項（包括持有並非屬於富冊的款項而產生的任何利息），其戶口權益淨額超過該戶口的最低保證金要求（該要求會由法律或任何相關監管機構不時修訂）（“款項”）。

除文義另有所指外，在此授權中使用的所有用詞具有經不時修訂的《證券及期貨條例》及《證券及期貨（客戶款項）規則》所賦予之相同涵義。本授權，授權富冊按其獨有酌情權在無須事先給予本司任何通知或取得本司的確認及/或指示的情況下，轉讓在該帳戶內全部或部分款項做下列用途：

(1) 轉帳至本司在富冊或富冊所屬的公司集團旗下任何一家或多家公司所開立的獨立帳戶，以用做抵償本司所欠富冊集團任何成員公司的債務或負債，而不論該等債務或負債是否實際、或有、主要或附屬、有無抵押、共同或個別負擔；

(2) 在任何上述獨立帳戶之間轉帳；

(3) 存入本司制定的銀行戶口內。

本授權有效期為 12 個月，自本授權之日起計有效。此授權有效期至本年度的 12 月 31 日終止，並可由本司於任何時候以書面向富冊提出撤銷。然而，在富冊收到撤銷的書面通知之前，該項撤銷均屬無效，並且按本授權所達成的任何交易也均不受該項撤銷所影響。

富冊可在此授權終止不少於 14 日前或任何富冊以書面形式通知之重新訂立之日期，向本司發出書面通知，提醒本司關於有關終止日期。並指出，假若本司不提出書面反對，本授權則將被視作同樣條款重新授權，有效期為 12 個月至下一年度的 12 月 31 日。屆時，富冊將以書面確認有關重新授權。

如本授權中、英文版本在釋義或意思上有不同，本司同意以英文版本為準。

本司確認本授權的內容已向本司解釋。本司亦完全明白本授權的內容，並已經或有機會就其內容及效力尋求法律顧問的意見。

#### Client Acknowledgement And Consent 客戶確認及同意

Acknowledgement regarding Risk Disclosure Statements 風險披露聲明之確認

FISF refers the Client to the Risk Disclosure Statements. 富冊向客戶指出風險披露聲明

The Client acknowledges that the Agreement and the Schedules attached were provided in English or Chinese. 客戶確認協議及其附錄是以英文或中文提供的。

The Client further acknowledges that he was invited to read the Risk Disclosure Statements, ask questions and take independent advice, if the Client wished. 客戶進一步確認客戶已被邀請閱讀風險披露聲明，提出問題及徵求獨立的意見（如客戶有此意願）。

Acknowledgement regarding accuracy of information provided 所提供資料準確性之確認

The information contained in this Account Opening Information Form is true and accurate. FISF is entitled to rely fully on such information for all purposes, unless FISF receives notice in writing of any change. FISF is authorized at any time to contact anyone, including Client's banks, brokers or any credit agency, for the purpose of verifying the information provided on this Account Opening Information Form. 包含在本開戶資料表中的資料均為真實及準確的。富冊有權完全地依賴該等資料作各種用途，除非富冊接獲任何更改的書面通知。富冊已被授權在任何時間聯絡任何人等，包括客戶之銀行，經紀或任何信用代理，以核實本開戶資料表所提供的資料。

We, the Undersigned Client, have read and understand the provisions of the attached Agreement and accept and agree to be bound by the same.

本司，簽署客戶，已閱讀並明白附屬於本表格之協議條款並接受及同意被該等條款約束。

#### Required documents (Note4) 需要文件（附注4）

Attached certified True copies  
隨附證明真實副本

- ☐ Certificate of Incorporation 公司註冊證書
- ☐ Audited Accounts for last financial year 上一財政年度之審計帳目
- ☐ Business Registration Certificate 商業登記證
- ☐ Board Resolution authorizing the Account opening (an authorized signatories) 授權開立賬戶（及獲授權簽署人）之董事會決議案
- ☐ Annual Return (last available) 周年申報表（最近）
- ☐ Latest statutory records filed with Companies Registry 最近在公司註冊處登記文件
- ☐ Memorandum and Articles of Association 章程大綱及組織章程細則
- ☐ HKID card/Passport of the authorized person(s) and major shareholder(s) 獲授權人仕及大股東之身份證或護照
- ☐ List of Shareholders (for non-HK incorporated private company) 股東名單（如公司是非香港註冊之私人公司）

#### Certified Extract of Board Resolutions 董事會決議核證摘要

At a Meeting of the Directors of the Company duly convened and held at: \_\_\_\_\_ (Address) on the \_\_\_\_ day of \_\_\_\_\_ at which a quorum was present and acting throughout, the following Resolution were duly passed by the Board of Directors:

於 \_\_\_\_\_ 年 \_\_\_\_\_ 月 \_\_\_\_\_ 日，本公司董事在 \_\_\_\_\_（地點）召開董事局會議，期間具備會議所需的合法人數，並且正式通過以下決議案：

IT WAS RESOLVED THAT:

董事會決議:

(1) securities account(s) (the "Account(s)"), whether on securities cash/ securities margin account or otherwise, be opened and maintained with FTFT International Securities And Futures Limited ("FISF") in accordance with such terms and conditions which FISF may from time to time prescribe for the Account(s);

在富冊國際證券期貨有限公司（「富冊」）開立和維持的證券現金/證券孖展或其他交易戶口（「戶口」）均按富冊不時規定有關戶口的條款和條件開立和維持;

(2) any one of the following person(s) be and is/are hereby appointed as Authorized Person(s) of the Company and be authorized to give orders or trading instructions to FISF, whether in writing, verbally or otherwise, in respect of any transactions of the Account(s) for and on behalf of and in the name of the Company;

在此授權任何一位下述之人士為公司的授權人士並獲授權以書面、口頭或其他方式就戶口的交易代表公司或以公司名義給予富冊交易指示;

Name (s) 姓名	ID/Passport No./Country of issue 身份證/護照號碼/簽發國家	Address 地址	Signature Specimen 簽字樣式

(3) any \_\_\_\_\_ of the following person(s) be and is/are hereby appointed as Authorized Person(s) of the Company and be authorized:

在此授權任何\_\_\_\_\_位下述之人士為公司的授權人士並獲授權進行以下事項:

(a) to sign, execute and deliver any and all agreements, consents, letters of instruction or other documents required by FISF for the settlement of securities transactions with FISF or in connection with the opening or operation of the Account(s);

簽署、簽訂並交付因與富冊結算證券交易或有關戶口的開立或運作而富冊所要求的任何與全部協議、同意、指示函或其他文件;

(b) to withdraw or transfer any money, securities, collateral or other property into or out of the Account(s); and

向戶口或從戶口提取或轉帳任何資金、證券、抵押品或其他財產; 及

(c) to make, execute and deliver any and all written endorsements and documents necessary or proper to effect the authority conferred by this resolution.

作出、簽署並交付按本決議授權生效所需要或適當的任何與全部書面背書及文件。

Name (s) 姓名	ID/Passport No./Country of issue 身份證/護照號碼/簽發國家	Address 地址	Signature Specimen 簽字樣式

(4) without prejudice to paragraphs (2) and (3) above, the Client Agreement of FISF (a draft copy of which had been tabled and considered by the Directors) be approved and any \_\_\_\_\_ of the captioned Authorized Person(s) be and is/are hereby authorized to sign or execute on the Company's behalf the Client Agreement and sign, execute and complete all other relevant documents on the Company's behalf in connection with the opening and operation of the Account(s), including without limitation, the Account Opening Application Form;

在不影響上述第 (2) 及第 (3) 段的情況下, 富冊的客戶協議 (其草本已提交董事會考慮) 獲批准, 而在此授權任何\_\_\_\_\_位上述之授權人士代表公司簽署或簽訂客戶協議、並代表公司簽署、簽訂與填妥有關開立與運作戶口的全部其他相關文件, 包括但不限於開戶申請表;

(5) the Company shall notify FISF from time to time of any change which may render the information in the Account Opening Application Form untrue or misleading;

公司應不時通知富冊任何可使開戶申請表中資料變得不實或誤導的任何變更;

(6) FISF be supplied with certified true copies of any documents which it may reasonably require in connection with the opening and operation of the Account(s), including, without limitation, copies of the certificate of incorporation, business registration certificate and the memorandum and articles of association or other constitutional documents of the Company, financial statements of the Company and certified extracts of any resolution relating to the Account(s).

富冊獲提供其認為與戶口開立與運作有關而作出合理要求的任何文件, 包括但不限於公司註冊證書、商業登記證書以及公司組織章程大綱及細則或其他組織文件的副本、公司財務報表和有關戶口的任何決議的核證摘要。

I, the undersigned, do hereby certify that the foregoing is a true copy of the Resolutions which were duly passed in accordance with the Memorandum and Articles of Association or other constitutional documents of the Company, have been duly recorded in the minutes book of the Company, and remain in full force and effect, no action having been taken to rescind or amend the said Resolutions.

下述簽署人現證明上述為已依照公司的章程大綱及細則或其他組織文件妥善地通過的決議的真實副本; 已妥善地記錄在公司的會議記錄冊之上; 及繼續全面生效及並沒有採取任何行動以撤銷或修訂該等決議案。



**Execution by Client (Note6) 客戶簽署 (附注 6)**

I / We, the undersigned, wish to instruct FISC to buy and sell, and otherwise deal with, Securities and other investments on my / our behalf and I / we hereby apply to open, and request FISC to maintain, a securities trading account trading account ("Account") in my / our name(s) on and subject to the terms provided by FISC with this statement (Note7).

本人 / 吾等為下述簽署人，擬指示富冊代表本人 / 吾等買賣及以其他方式處置證券及其他投資。本人 / 吾等茲申請依照富冊連同本表格所規定之本條款，開立並要富冊保持一個以本人 / 吾等名義上證券交易賬戶(「賬戶」)(附注 7)。

Signature of Director(s) on behalf of the Client 代表客戶的董事簽名

Print name(s) of the Director(s) 董事名姓名

Date 日期: \_\_\_\_\_

**Witness For Account Opening By Post (Note6) 郵遞開戶的見證 (附注 6)**

I, the undersigned witness, hereby certify that I have witnessed the signing of this Agreement and have sighted the related identity documents of the Client. 本人為下述簽署人，茲核證本人見證客戶簽立本協議，並驗證有關客戶身份證明文件。

Signature of Witness 見證人簽署	Name of Witness (Block Capitals) 見證人姓名	
	Occupation 職業	
	Address 地址	

**Office Use Only 本欄僅供內部專用****Declaration by Staff 職員聲明**

I, \_\_\_\_\_ (Print Name of staff), confirm that I have provided the Risk Disclosure Statements in English or Chinese to the Client and that I have invited the Client to read the Risk Disclosure Statements, ask questions and take independent advice, if the Client wishes.

本人，\_\_\_\_\_ (職員姓名)，確認本人已以英文或中文向客戶提供風險披露聲明，及已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 (如客戶有此意願)。

Signature 簽名

CE Number 號碼 ( ) Date 日期: \_\_\_\_\_

**Acceptance by FISC 接納**

For and on behalf of 代表

FTFT International Securities And Futures Limited 富冊國際證券期貨有限公司

Authorised Signature(s)

獲授權人簽名

Name 姓名: \_\_\_\_\_ Date 日期: \_\_\_\_\_

## 自我證明表格-實體

**重要提示：**

- 這是由賬戶持有人向富冊國際證券期貨有限公司提供的自我證明表格，以作自動交換財務賬戶資料用途。富冊國際證券期貨有限公司可把收集所得的資料交給稅務局，稅務局會將資料轉交到另一稅務管轄區的稅務當局。
- 如賬戶持有人的稅務居民身份有所改變，應盡快將所有變更通知富冊國際證券期貨有限公司。
- 除不適用或特別註明外，必須填寫這份表格所有部分。如這份表格上的空位不夠應用，可另紙填寫。在欄/部標有星號（\*）的項目為富冊國際證券期貨有限公司須向稅務局申報的資料。

**第 1 部 實體賬戶持有人的身分識別資料**

（對於聯名賬戶或多人聯名賬戶，每名實體賬戶持有人須分別填寫一份表格）實體賬戶的資料填報如開戶表格

**第 2 部 實體類別**

在其中一個適當的方格內加上✓號，並提供有關資料

財務機構	<input type="checkbox"/> 託管機構、存款機構或指明保險公司 <input type="checkbox"/> 投資實體，但不包括由另一財務機構管理（例如：擁有酌情權管理投資實體的資產）並位於非參與稅務管轄區的投資實體
主動非財務實體	<input type="checkbox"/> 該非財務實體的股票經常在_____（一個具規模證券市場）進行買賣 <input type="checkbox"/> _____的有關連實體，該有關連實體的股票經常在_____（一個具規模證券市場）進行買賣 <input type="checkbox"/> 政府實體、國際組織、中央銀行或由前述的實體全權擁有的其他實體 <input type="checkbox"/> 除上述以外的主動非財務實體（請說明_____）
被動非財務實體	<input type="checkbox"/> 位於非參與稅務管轄區並由另一財務機構管理的投資實體 <input type="checkbox"/> 不屬於主動非財務實體的非財務實體

**第 3 部 控權人（如實體賬戶持有人是被動非財務實體，填寫此部）**

就賬戶持有人，填寫所有控權人的姓名在列表內。就法人實體，如行使控制權的並非自然人，控權人會是該法人實體的高級管理人員。

每名控權人須分別填寫一份自我證明表格-控權人。

(1)	(5)
(2)	(6)
(3)	(7)
(4)	(8)

**第 4 部 居留司法管轄區及稅務編號或具有等同功能的識別編號（以下簡稱稅務編號）\***

請提供以下資料，列明（a）賬戶持有人的居留司法管轄區，亦即賬戶持有人的稅務管轄區（香港包括在內）及（b）該居留司法管轄區發給賬戶所有人的稅務編號。列出所有（不限於 5 個）居留司法管轄區。

如賬戶持有人是香港稅務居民，稅務編號是其香港商業登記號碼。如賬戶持有人並非任何稅務管轄區的稅務居民（例如，它是財政透明實體），填寫實際管理機構所在的稅務管轄區。如沒有提供稅務編號，必須填寫合適的理由：

**理由 A-**賬戶持有人的居留司法稅務管轄區並沒有向其居民發出稅務編號。

**理由 B-**賬戶持有人不能取得稅務編號。如選取這一理由，解釋賬戶持有人不能取得稅務編號的原因。

**理由 C-**賬戶持有人毋需提供稅務編號。居留司法管轄區的主管機構不需要賬戶持有人披露稅務編號。

居留司法管轄區	稅務編號	如沒有提供稅務編號，填寫理由 A、B 或 C	如選取理由 B，解釋賬戶持有人不能取得稅務編號的原因
(1)			
(2)			
(3)			
(4)			
(5)			

**第 5 部 聲明及簽署**

本人知悉及同意，富冊國際證券期貨有限公司可根據《稅務條例》（第 112 章）有關交換財務賬戶資料的法律條文，（a）收集本表格所載資料并可備存作自動交換財務賬戶資料用途及（b）把該等資料和關於賬戶持有人及任何須申報賬戶的資料向香港特別行政區政府稅務局申報。從而把資料轉交到賬戶持有人的居留司法管轄區的稅務當局。

本人證明，就與本表格所有相關的賬戶，本人獲賬戶持有人授權簽署本表格。

本人承諾，如情況有所改變，以致影響本表格第 1 部所屬的實體的稅務居民身分，或引致本表格所載的資料不正確，本人會通知富冊國際證券期貨有限公司，並會在情況發生改變後 30 日內，向富冊國際證券期貨有限公司提交一份已適當更新的自我證明表格。

本人聲明就本人所知所信，本表格內所填報的所有資料和聲明均屬真實、正確和完備。

簽署 \_\_\_\_\_

姓名 \_\_\_\_\_

身分 \_\_\_\_\_（例如，公司的董事或高級人員、合夥的合夥人、信託的受託人等）

日期（日/月/年） \_\_\_\_\_

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。一經定罪，可處第 3 級（即 \$10,000）罰款。



## 自我證明表格-控權人

## 重要提示：

- 這是由賬戶持有人向富冊國際證券期貨有限公司提供的自我證明表格，以作自動交換財務賬戶資料用途。富冊國際證券期貨有限公司可把收集所得的資料交給稅務局，稅務局會將資料轉交到另一稅務管轄區的稅務當局。
- 如賬戶持有人的稅務居民身份有所改變，應盡快將所有變更通知富冊國際證券期貨有限公司。
- 除不適用或特別註明外，必須填寫這份表格所有部分。如這份表格上的空位不夠應用，可另紙填寫。在欄/部標有星號（\*）的項目為富冊國際證券期貨有限公司須向稅務局申報的資料。

## 第 1 部 控權人的身分識別資料

控權人的資料填報如開戶表格

## 第 2 部 你作為控權人的實體賬戶持有人

填寫你作為控權人的實體賬戶持有人名稱。

實體	實體賬戶持有人的名稱
(1)	
(2)	

## 第 3 部 居留司法管轄區及稅務編號或具有等同功能的識別編號（以下簡稱稅務編號）\*

請提供以下資料，列明（a）控權人的居留司法管轄區，亦即控權人的稅務管轄區（香港包括在內）及（b）該居留司法管轄區發給控權人的稅務編號。列出所有（不限於 5 個）居留司法管轄區。

如控權人是香港稅務居民，稅務編號是其香港商業登記號碼。如控權人並非任何稅務管轄區的稅務居民（例如，它是財政透明實體），填寫實際管理機構所在的稅務管轄區。如沒有提供稅務編號，必須填寫合適的理由：

**理由 A**-控權人的居留司法稅務管轄區並沒有向其居民發出稅務編號。

**理由 B**-控權人不能取得稅務編號。如選取這一理由，解釋控權人不能取得稅務編號的原因。

**理由 C**-控權人毋需提供稅務編號。居留司法管轄區的主管機構不需要控權人披露稅務編號。

居留司法管轄區	稅務編號	如沒有提供稅務編號， 填寫理由 A、B 或 C	如選取理由 B，解釋控權人不能取得稅務編號的原因
(1)			
(2)			
(3)			
(4)			
(5)			

## 第 4 部 控權人類別

就第 2 部所載的每個實體，在適當方格內加上 ✓ 號，指出控權人就每個實體所屬的控權人類別。

實體類別	控權人類別	實體 (1)	實體 (2)
法人	擁有控制股權的個人（擁有不少於 25% 的已發行股本）		
	以其他途徑行使控制權或有權行使控制權的個人（即擁有不少於 25% 的表決權）		
	擔任該實體的高級管理人員/對該實體的管理行使最終控制權的個人		
信託	財務授予人		
	受託人		
	保護人		
	受益人或某類別受益人的成員		
	其他（例如：如財產授予人/受託人/保護人/受益人為另一實體，對該實體行使控制權的個人）		
除信託以外的法律安排	處於相等/相類於財產授予人位置的個人		
	處於相等/相類於受託人位置的個人		
	處於相等/相類於保護人位置的個人		
	處於相等/相類於受益人或某類別受益人的成員位置的個人		
	其他		

## 第 5 部 聲明及簽署

本人知悉及同意，富冊國際證券期貨有限公司可根據《稅務條例》（第 112 章）有關交換財務賬戶資料的法律條文，（a）收集本表格所載資料并可備存作自動交換財務賬戶資料用途及（b）把該等資料和關於控權人及任何須申報賬戶的資料向香港特別行政區政府稅務局申報。從而把資料轉交到控權人的居留司法管轄區的稅務當局。

本人證明，就與本表格所有相關的實體賬戶持有人所持有的賬戶，本人是控權人簽署本表格。

本人承諾，如情況有所改變，以致影響本表格第 1 部所屬的個人的稅務居民身分，或引致本表格所載的資料不正確，

本人會通知富冊國際證券期貨有限公司，並會在情況發生改變後 30 日內，向富冊國際證券期貨有限公司提交一份已適當更新的自我證明表格。

本人聲明就本人所知所信，本表格內所填報的所有資料和聲明均屬真實、正確和完備。

簽署 \_\_\_\_\_

姓名 \_\_\_\_\_

身分 \_\_\_\_\_

日期（日/月/年） \_\_\_\_\_

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。一經定罪，可處第 3 級（即 \$10,000）罰款。

## LETTER OF GUARANTEE

In consideration of FTFT International Securities And Futures Limited (hereinafter referred to individually as the "Company" and together the "Companies"), making or continuing advances or otherwise giving credit or affording credit and finance facilities for as long as each Company may think fit to \_\_\_\_\_ (hereinafter called "the Customer").\* I/We, the undersigned (Guarantor's Name) (hereinafter called "the Guarantor" which expression shall where applicable include the Guarantor and his/her/their respective executors, administrators and successors) hereby jointly and severally\* guarantee the payment of and agree to pay and satisfy to each Company on demand all and every sums of money and liabilities which are now or shall at any time hereafter be owing or incurred to each Company from or by the Customer on any account of the Customer with each Company or in any manner whatsoever (and without prejudice to the generality of the foregoing, any reference to an account shall include any account which the Customer may hereafter open or re-open with any of the Companies) whether as principal or surety and whether solely or jointly with any other person, firm or corporation or from any firm in which the Customer may be a partner and in whatever name style of firm including but not limited to the amount of notes or bills discounted or paid and other loans credits or advances made to or for the accommodation or at the request either of the Customer solely or jointly with any other person firm or corporation or of any such firm as aforesaid or for any money for which the Customer may be liable as surety or in any other way whatsoever together with interest on all such moneys debts and liabilities at such rate or rates as may from time to time be charged by each Company and all handling charges legal and other costs charges and expenses.

PROVIDED that \*the liability of the Guarantor to each Company hereunder shall be unlimited/the amount recoverable by each Company from the Guarantor hereunder is limited to the principal sum of Hong Kong Dollars \_\_\_\_\_ (Amount in words) (HK\$ \_\_\_\_\_) Amount in figures \_\_\_\_\_ (Guarantor's initial) for each Company with interest thereon at such rate or rates as each Company may from time to time charge from the date of demand or the date of discontinuance by the Guarantor of this Guarantee until payment.

Further and without prejudice to the generalities of the foregoing, the Guarantor hereby further agrees and undertakes with each Company as follows:

1. This guarantee shall not be considered as satisfied by any intermediate payment or satisfaction of the whole or any part of any sum or sums of money owing as aforesaid but shall be a continuing security and shall extend to cover any sum or sums of money which shall for the time being constitute the balance due from the Customer to any Company upon any such account as hereinbefore mentioned.
2. This guarantee shall be binding as a continuing security on the Guarantor until the expiration of three calendar months after he or in case of his dying or becoming under disability his executors, administrators or legal representatives (as the case may be) shall have given to any Company with which the Customer has an account notice in writing to discontinue and determine the same. However, such determination shall not release the Guarantor in respect of any liability undertaken or incurred by any Company during the currency of this guarantee but not maturing till after the determination of this guarantee.
3. In the event of this guarantee ceasing from any cause whatsoever to be binding as a continuing security on the Guarantor, each Company shall be at liberty without thereby affecting its rights hereunder to open a fresh account or accounts and to continue any then existing account with the Customer and no money paid from time to time into any such account or accounts by or on behalf of the Customer and subsequently drawn out by the Customer shall on settlement of any claim in respect of this guarantee be appropriated towards or have the effect of payment of any part of the money due from the Customer at the time of this guarantee ceasing to be so binding as a continuing security or of the interest thereon unless the person or persons paying in the money shall at the time in writing direct each Company specially to appropriate the money to that purpose.
4. Any admission or acknowledgement in writing by the Customer or by any person authorized by the Customer of the amount of indebtedness of the Customer to any Company and any judgment recovered by that Company against the Customer in respect of such indebtedness shall be binding and conclusive on and against the Guarantor in all courts of laws and elsewhere. Further, a certificate by an officer of any Company as to the money and liabilities for the time being due or incurred to that Company from or by the Customer shall be conclusive evidence against the Guarantor in all courts of law and elsewhere.
5. Each Company shall be at liberty without thereby affecting that Company's rights against the Guarantor hereunder at any time to determine enlarge or vary and credit to the Customer to vary exchange abstain from perfecting or release any or the rights of any other Company against the Guarantor hereunder other securities held or to be held by such Company for or on account of the moneys intended to be hereby secured or any part thereof to renew bills and promissory notes in any manner and to compound with give time for payment of accept compositions from and make any other arrangements with the Customer or any obligants on bills, notes or other securities held or to be held by such Company for and on behalf of the Customer.
6. The Guarantee shall be in addition to and shall not be in any way prejudiced or affected by any collateral or other security now or hereafter held by any

Company for all or any part of the moneys hereby guaranteed nor shall such collateral or other security or any lien to which any Company may be otherwise entitled or the liability of any person or persons not parties hereto for all or any part of the moneys hereby secured be in anyway prejudiced or affected by this present guarantee. And each Company shall have full power at its absolute discretion to give time for payment to or make any arrangement with any such other person or persons without prejudice to this present guarantee or any liability hereunder. And all sums of money received by any Company from the Guarantor or the Customer or any person or persons liable to pay the same may be applied by the receiving Company to any account or item of account or to any transaction to which the same may be applicable.

7. Although the Guarantor's ultimate liability hereunder to each Company cannot exceed the limit hereinbefore mentioned (if any) yet this present guarantee shall be construed and take effect as a guarantee of the whole and every part of the principal money and interest owing and to become owing as aforesaid and accordingly the Guarantor is not to be entitled as against any Company to any right of proof in the bankruptcy or insolvency of the Customer or other right of a surety discharging his liability in respect of the principal debt unless and until the whole of the principal money and interest shall have first been completely discharged and satisfied. And further for the purpose of enabling any Company to sue the Customer or prove against his estate for the whole of the money owing as aforesaid or the preserve intact the liability of any other part, each Company may at any time place and keep for such time as it may think prudent and moneys received, recovered or realized hereunder to and at a separate or suspense account to the credit either of the Guarantor or of such other person or persons or transaction if any as it shall think fit without any intermediate obligation on the part of any Company to apply the same of any part thereof in or towards the discharge of the money owing as aforesaid or any intermediate right on the Guarantor's part of sue the Customer or prove against his estate in completion with or so as to diminish any dividend or other advantage that would or might come to any Company or to treat the liability of the Customer as diminished.
8. The Guarantor hereby declares that he has not taken in respect of the liability hereby undertaken by him on behalf of the Customer and hereby agrees that he will not take from the Customer either directly or indirectly without the consent of each Company any promissory note bill of exchange mortgage charge or other counter-security whether merely personal or involving a charge on any property whatsoever of the Customer whereby the Guarantor or any person claiming through him by endorsement assignment or otherwise would or might on the bankruptcy or insolvency of the Customer and to the prejudice of any Company increase the proofs in such bankruptcy or insolvency or diminish the property distributable amongst the creditors of the Customer.
9. If the name of the Customer hereinbefore inserted is that either of a firm or of a limited company or other corporation or of any committee or association or other unincorporated body any of the provisions hereinbefore contained which are primarily and literally applicable to the case of a single and individual customer only shall be construed and take effect so as to give each Company hereunder a guarantee for the money owing from that firm and every member thereof or from that limited company or corporation or committee or association or other unincorporated body as identical or analogous as may be with or to that which would have been given for the money owing from a single individual if the Customer had been a single individual and any money shall be deemed to be so owing notwithstanding any defect informality or insufficiency in the borrowing powers of the Customer or in the exercise thereof which might be a defence as between the Customer and any Company. In the case of a firm this guarantee shall be deemed to be a continuing guarantee of all money owing on any such account as hereinbefore mentioned from the persons or persons carrying on business in the name of or in succession to the firm or from any one or more of such persons although by death retirement or admission of partners or other causes the constitution of the firm may have been in part or wholly varied. In the case of a limited company or other corporation any reference to bankruptcy shall be deemed to be a reference to liquidation or other analogous proceeding and the money owing as aforesaid and hereby guaranteed shall be deemed to include any money owing in respect of debentures or debenture stock of the limited company or other corporation held by or on behalf of any Company.
10. If the Guarantor shall consist of more than one persons, their liabilities to each Company hereunder shall be deemed to be joint and several and any Company may release or discharge any of them from his or their obligations hereunder or compound with or enter into any arrangement with any of them without thereby in any way affecting its rights hereunder against any of the other or others of them or the rights of any of the other Companies against the person or persons so released or discharged.
11. So long as any money remains owing hereunder each Company shall have a lien on any moneys now or hereafter standing to the credit of any accounts of the Guarantor with any such Company and on any securities now or at any time hereafter deposited with or otherwise placed in the hands of any such Company belonging to or under the control of the Guarantor. Each Company may also without notice to the Guarantor combine or consolidate all or any of the accounts of the Guarantor with and liabilities to any such Company and set-off or transfer any sum or sums in whatever currency standing to the credit of any one or more of such accounts in or towards satisfaction of any of the Guarantor's liabilities to any such Company on any other account or in any other respect whatsoever irrespective of whether such liabilities be incurred by the Guarantor singly or by the Guarantor jointly with others in partnership or otherwise or incurred by the Guarantor as principal or as surety of the Customer or of some other person body corporate or firm and irrespective of whether such liabilities be actual or contingent, primary or collateral and several or joint.
12. The Guarantor shall in no circumstances whatsoever have the right to use the name of any Company for the purpose of proceedings against the Customer or otherwise.
13. The Guarantor is liable as a principal debtor to each Company for the payment of any moneys secured hereunder and no Company need institute legal proceedings or take other steps towards the recovery of the moneys owing from the Customer before enforcing this guarantee against the Guarantor or join in the Customer as a party in any legal proceedings against Guarantor.

14. Each Company is hereby authorized by the Guarantor at any time without notice to the Guarantor to attend to and do in the name of the Guarantor or in the name of that Company for and on behalf of the Guarantor all or any of the followings, that is to say
- (a) to receive from that Company or any banks and companies or finance companies or any persons or partnership all or any of such monies including interest, if any, accrued or accruing due on the Guarantor's deposit account or accounts or any other accounts with any of the Company or the said companies or finance companies or banks or persons or partnerships and upon receipt thereof to give good and valid receipts and discharges for the same whether in the name of the Guarantor or in the name of the Company as it may think fit;
  - (b) to withdraw all or any such moneys (together with interest thereon, if any) from that Company or any other banks or finance companies or persons or partnership whether on maturity or otherwise as may be necessary or required for the payment and satisfaction of all moneys and liabilities owing to that Company.
15. The security hereby created shall not be discharged or affected by the death bankruptcy insolvency or liquidation of the Customer but shall continue to be operative until determined in the manner and to the extent as provided in Clause 2 hereof.
16. No failure or delay on the part of any Company to exercise or enforce any right, remedy, power or privilege hereunder or under any agreement with the Customer or in relation to any security taken by any Company shall operate or deem to operate as a waiver thereof, nor shall any single or partial exercise or enforcement of any right, remedy, power or privilege herein provided be cumulative and inclusive of any rights, remedies, powers and privileges provided by law.
17. Any term, condition, stipulation, provision, covenant or undertaking in this guarantee which is illegal, void, prohibited or unenforceable in any jurisdiction shall be ineffective to the extent of such illegality, voidness, prohibition or unenforceability without invalidating the remaining provisions hereof, and any such illegality, voidness, prohibition or unenforceability in any jurisdiction shall not invalidate or render illegal, void or unenforceable any such term, condition, stipulation, provision, covenant or undertaking in any other jurisdiction.
18. (a) Any notice required to be given by any Company shall be in writing and shall be deemed to have been so given if addressed to the Guarantor at his last know address as recorded by that Company.
- (b) Any notice delivered personally shall be deemed to have been given at the time of delivery. Any notice despatched by letter postage prepaid shall be deemed to have been given 48 hours after positing. Any notice sent by fax shall be deemed to have been given at the time of despatch.
- (c) Any notice or demand for payment by any Company on behalf of another Company or any other Companies hereunder shall without prejudice to any other effective mode of making the same be deemed to have been properly served on the Guarantor if served in accordance with the provisions herein provided.
- (d) In case of the Guarantor's death and until each Company with whom the Customer has an account or account(s) receives notice in writing of the grant of probate of the Guarantor's will or of administration of his estate any notice or demand by each Company sent by post as aforesaid addressed to the Guarantor or his personal representatives at his address last known to that Company or stated hereto shall for all purposes of this guarantee be deemed a sufficient notice or demand by that Company to the Guarantor and his personal representatives and shall be as effectual as if the Guarantor were still living.
18. In this Guarantee, the expression "the Company" shall mean and include all companies for the time being which are subsidiaries (within the meaning of section 2(4) of the Companies Ordinance, Cap 32 of the Laws of Hong Kong) of each of the Companies, the holding company of each of the Companies and the respective successors and assigns of each of such companies.
19. The Guarantor hereby agrees that each Company may enforce its rights under this guarantee against the Guarantor in the Court or Courts of any country or place in the world, to the jurisdiction of which Court or Courts the Guarantor hereby irrevocably submits.
20. This Guarantee and all rights obligations and liabilities arising hereunder shall be construed and determined under and may be enforced in accordance with the Laws of the Hong Kong Special Administrative Region.
21. In this guarantee where the singular is use, it shall be taken to include the plural where applicable and where words importing the masculine gender are used they shall where applicable include the feminine gender and neuter gender.

Date :

**SIGNED SEALED and DELIVERED by**

Name of Guarantor: \_\_\_\_\_

HK ID Card/Passport No.: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_  
Guarantor's Signature

In the presence of:

Name of witness: \_\_\_\_\_

\_\_\_\_\_

\* Please delete as Inappropriate

Witness' Signature

**Notes: 附註**

- 1      *Company name should be as on its certificate of incorporation.* 公司名稱應為其在法團註冊證書上之名稱。
- 2      *If company is not incorporated in Hong Kong, insert principal place of business address which must be in Hong Kong unless otherwise agreed by FISF.* 如公司並非在香港註冊成立，填上主要營業地址。除非富冊另行同意，否則主要營業地址必須在香港。
- 3      *The Mailing Address must be in Hong Kong unless otherwise agreed by FISF.* 除獲得富冊同意外，郵寄地址必須位於香港。
- 4      *Please provide FISF with a copy of the listed documents certified as a true copy by a director, secretary or lawyer.* 公司需向富冊提供經董事、秘書或律師證明為真實副本之列出文件。
- 5      *If you have an Investor Account at CCASS which you may operate in conjunction with the Account, check box and insert the CCASS account number.* 如客戶在中央結算系統中持有投資者參與賬戶，並可能會與此賬戶連同運作，請在此格加上記號並填上中央結算系統賬戶號碼。
- 6      *If you are opening this Account by way of post, please arrange for other person registered with the SFC, an affiliate of a registered person, a Justice of Peace, or a professional person such as a branch manager of a bank, certified public accountant, lawyer or notary public to witness your signing of this Agreement and the sighting of related identity documents by using the "Witness for Account Opening by Post" section.* 如閣下以郵遞方式開戶，請安排其他在證監會註冊人、註冊人的聯繫人士、太平紳士或專業人士如銀行分行經理、執業會計師、律師或公證人在「郵遞開戶見證」欄中驗證閣下簽立本協議及有關的身份證明文件。
- 7      *Please note that the Account will not be opened until the application has been accepted by FISF which requires signature by an authorized person of FISF. FISF will send the Client a copy of this Form as completed and signed by both the Client and FISF for the record of the Client on request from the Client. Separate notification will be given of the grant of margin facilities, if applicable.* 謹請注意，申請未經富冊接納前，不得開立賬戶。申請之接納需經富冊之獲授權人士簽署。富冊將會按客戶要求，將本表格經客戶及富冊填妥及簽署後之副本寄發客戶以作紀錄。如適用時，富冊將另行通知客戶有關批出孖展貸款之情況。
- 8      *The term relative includes spouse, children (whether minor or adult), parents, grandparents, brother and sister. Where there is a connection, FISF may monitor the account in accordance with its group policy on trading by employees and relatives.* 親屬一詞包括配偶、子女(不論是未成年人或成人)、父母、祖父母、兄弟及姊妹。倘有關係，富冊可根據其集團對僱員及親屬進行交易之政策，監察賬戶。