



**光大證券 | 國際**  
EVERBRIGHT SECURITIES | INTERNATIONAL

## **ACCOUNT APPLICATION (Individual Account)**

**開戶申請表  
(個人帳戶)**

香港銅鑼灣希慎道33號利園一期28樓

電話 : +852 3920 2888

傳真 : +852 3920 2789

客戶服務熱線 : +852 2822 5001 (香港) / +853 6262 5028 (澳門) / +86 40011 95525 (內地)

28/F, Lee Garden One, 33 Hysan Avenue, Causeway Bay, Hong Kong

General Line : +852 3920 2888

Fax : +852 3920 2789

Customer Service Hotline : +852 2822 5001 (Hong Kong) / +853 6262 5028 (Macau) /  
+86 40011 95525 (Mainland)



# ACCOUNT APPLICATION (Individual Account) 開戶申請表（個人帳戶）

Note: This is an important document. You (the “Applicant”) should carefully read and fully understand the contents of this Account Application and depending on the account(s) and the services (if applicable) chosen by you immediately below, the attached Client Agreement(s) and Schedules and Appendix(ces) (if any) and Supplement(s) (if any) thereto (collectively “Client Agreement”) in respect of EBSISHK, CESCHK, CESFXHK and/or EBSDFHK (as defined below) and, where appropriate, the Terms and Conditions for OTC Swap Transactions (Individuals) (“OTC Swap T&Cs (Individuals)”), the OTC Swap Account Annex, CESFXHK Global Payments Spot Contract Terms and Conditions, and the Application for Electronic Services (as defined in Clause (14) of Section G), (if any), as well as other related documents as specified by the company(ies) of EBSI Group. The foregoing documents are together hereinafter referred to as the “Documents”. In this Account Application, “EBSI Group” means the group of companies comprising EBSISHK, CESCHK, CESFXHK and EBSDFHK together with China Everbright Securities International Company Limited (“CEBSI”) and CEBSI’s subsidiaries and associated companies and “the company(ies) of EBSI Group” means the companies to which this Account Application is submitted in relation to the account(s) and the services (if applicable) chosen by the Applicant immediately below. Before signing the Documents, the Applicant should first seek independent legal and other professional advice as necessary. In case of discrepancies between the English and Chinese versions of this Account Application, the English version shall prevail.

註：此乃重要文件。閣下（即申請人）應仔細閱讀並充份理解本開戶申請表及依據閣下以下所選擇之一個或多個帳戶及服務（若適用）而隨本文件附上有關光證投資服務香港、光證期貨香港、光證外匯香港及／或光證數金香港（釋義見下）之客戶協議及其／其等附件及附錄（若有）及補充（若有）（統稱「客戶協議」）及當適用，場外掉期交易之條款及細則（個人）（「場外掉期條款及細則（個人）」）、場外掉期帳戶附件、光證外匯香港「匯款易」現貨合約條款及條件及電子服務申請書（釋義按G項第(14)條）（若有）以及光大證券國際集團的公司（釋義見下）不時指定的其他相關文件。上述文件以下統稱為「文件」。於本開戶申請表，「光大證券國際集團」指包括光證投資服務香港、光證期貨香港、光證外匯香港及光證數金香港，連同中國光大證券國際有限公司及其附屬公司及相聯公司等集團成員公司；同時，「光大證券國際集團的公司」指相關於申請人以下所選擇之一個或多個帳戶及服務（若適用）而將本申請表向其／其等呈交的一間或多間光大證券國際集團的公司。申請人在簽署文件前，必須徵求獨立法律及（如需要）其他專業意見。倘若本開戶申請表的中英文本有任何歧異，概以英文本為準。

To the companies of EBSI Group: Please open and maintain the following type(s) of non-discretionary individual account(s) (“Account”). (Please see Clause (1) of Section G of this Account Application):

致光大證券國際集團的公司：請開設及維持以下非全權代客買賣的個人帳戶（「帳戶」）（請參閱本開戶申請表G項第(1)條）：

Please check the appropriate box(es) below.  
請選擇以下合適者。

**Everbright Securities Investment Services (HK) Limited (“EBSISHK”) 光大證券投資服務（香港）有限公司（「光證投資服務香港」）**  
(CE Number 中央編號：AAC153)

Standard Trading Accounts (標準帳戶)	Margin Trading Accounts (孖展帳戶)
<input type="checkbox"/> Cash Securities Trading Account(s) 現金證券交易帳戶 <input type="checkbox"/> Asset Power Account(s) 資產理財帳戶 <input type="checkbox"/> Stock Options Trading Account(s) 股票期權交易帳戶 <input type="checkbox"/> Collective Investment Scheme Account(s) 集體投資計劃帳戶	<input type="checkbox"/> Margin Securities Trading Account(s) 孖展證券交易帳戶 <input type="checkbox"/> Asset Power Account(s) 資產理財帳戶 <input type="checkbox"/> Margin Securities Trading Account(s) - (Financial Products Financing) 孖展證券交易帳戶 - (理財產品融資帳戶) <input type="checkbox"/> Stock Options Trading Account(s) 股票期權交易帳戶 <input type="checkbox"/> Collective Investment Scheme Account(s) 集體投資計劃帳戶 <input type="checkbox"/> OTC Swap Account(s) 場外掉期帳戶

- ☐ Online securities trading services 網上股票買賣服務  
☐ Online stock options trading services 網上股票期權買賣服務

☐ Other Services 其他服務：\_\_\_\_\_

**CES Commodities (HK) Limited (“CESCHK”) 光證期貨（香港）有限公司（「光證期貨香港」）**

(CE Number 中央編號：AAF237)

- ☐ Commodities Trading Account(s)  
期貨交易帳戶

- ☐ Online trading services  
網上買賣服務

**CES Forex (HK) Limited (“CESFXHK”) 光證外匯（香港）有限公司（「光證外匯香港」）**

(CE Number 中央編號：ACI995)

- ☐ Global Payments Account(s) – Spot FX  
環球付款帳戶－現貨外匯  
☐ Global Payments Account(s) – Spot & Forward FX  
環球付款帳戶－現貨及遠期外匯  
☐ Leveraged Foreign Exchange Trading Account(s)  
槓桿式外匯交易帳戶

- ☐ Online leveraged foreign exchange trading services – MT4  
網上槓桿式外匯交易買賣服務－MT4

- ☐ Online leveraged foreign exchange trading services – FX Trader Pro  
網上槓桿式外匯交易買賣服務－「交易易」（專業版）

**Everbright Securities Digital Finance (HK) Limited (“EBSDFHK”) 光大證券數碼金融（香港）有限公司（「光證數金香港」）**

(CE Number 中央編號：AAC483)

- ☐ Cash Securities Trading Account(s)  
現金證券交易帳戶  
☐ Margin Securities Trading Account(s)  
孖展證券交易帳戶

- ☐ Online securities trading services  
網上股票買賣服務

- ☐ Online securities trading services  
網上股票買賣服務

**FOR EXISTING CLIENT USE ONLY\* 只供現有客戶使用\***

- (1) Account No. 帳戶號碼：\_\_\_\_\_
- (2) Does the Applicant confirm that his/her personal data have not been changed and give consent to use the personal information maintained in existing account(s) (with account no. mentioned above) for this account opening application?  
申請人是否確認他 / 她的個人資料沒有更改，並同意使用上述現有帳戶的個人資料以作本開戶申請用途？
- ☐ Yes 是 (Please skip Section A Question 3-13) (請跳過A項問題 3-13)
- ☐ Yes 是, but with the Applicant's particulars updated as below 惟申請人資料有如下更新  
(Please provide the updated information in the relevant space in Section A Question 3-13, where applicable)  
(請在A項問題 3-13的相關空位填上需更新的資料，如適用)

(\*only applicable to existing client who has successfully opened an account within 12 months of the date of this Account Application)  
(\*只適用於現有客戶而其帳戶須在本開戶申請表日期之12個月內成功開立)

**SECTION A THE APPLICANT'S PARTICULARS 申請人資料****Personal Information 個人資料**

- (1) Name (in English): Mr/Mrs/Miss/Ms\* Surname (in English): \_\_\_\_\_ Given Name: \_\_\_\_\_  
姓名(中文): 先生 / 太太 / 小姐 / 女士\* 姓(中文): \_\_\_\_\_ 名 \_\_\_\_\_  
\* Please delete as appropriate 請刪去不適用者 Full name shown on your identity document 您身份證明文件上的全名

- (2) Date of Birth: \_\_\_\_\_ Nationality: \_\_\_\_\_ Identity Card or Passport No.: \_\_\_\_\_  
出生日期 DD(日) MM(月) YYYY(年) 國籍 身份證或護照號碼
- Identity Document Type: ☐ HKID ☐ CNID ☐ Macau ID ☐ Passport ☐ Others (Please specify): \_\_\_\_\_  
身份證文件類別 香港身份證 中國身份證 澳門身份證 護照 其他(請註明): \_\_\_\_\_
- Place of Birth: \_\_\_\_\_  
出生地點 [Town or City of Birth 出生城鎮或城市] [Country of Birth 出生國家]

- (3) Marital Status: ☐ Single ☐ Married with child(ren) ☐ Married without child ☐ Others  
婚姻狀況 未婚 已婚有子女 已婚未有子女 其他
- (4) Education Level: ☐ Primary or below ☐ Secondary ☐ Post secondary ☐ University or above  
學歷 小學或以下 中學 預科 / 專上學院 大學或以上

- (5) Residential Address 住址: (Please provide address proof within the recent 3 months 請提供最近3個月的地址證明)

Flat 室 Floor 樓數 Block 座數 House 樓/Building 大廈 Estate 屋邨/Garden 花園  
No. and Name of Street 門牌號數及街道名稱 District 分區/Area 地區 Country 國家

**Nature of Occupancy 住宅類別:**

- ☐ Owned 自置 ☐ Rented 租用 ☐ Family property 家人物業 ☐ Quarter 宿舍  
☐ Others (Please specify) 其他(請說明): \_\_\_\_\_

- (6) Permanent Address 永久地址:

- ☐ Same as residential address 與住址相同  
☐ Otherwise, please specify 若與住址不同，請說明: (Please provide address proof within the recent 3 months 請提供最近3個月的地址證明)

Flat 室 Floor 樓數 Block 座數 House 樓/Building 大廈 Estate 屋邨/Garden 花園  
No. and Name of Street 門牌號數及街道名稱 District 分區/Area 地區 Country 國家

- (7) Home Tel No. 住宅電話號碼: ( ) \_\_\_\_\_ (8) Mobile Phone No. 手提電話號碼: ( ) \_\_\_\_\_

- (9) Email Address 電子郵件地址: \_\_\_\_\_

- (10) Employment Status 工作狀況:

- ☐ Employed 受僱 ☐ Self-Employed 自僱 ☐ Retired 退休 ☐ Housewife 家庭主婦 ☐ Other 其他 \_\_\_\_\_

Name of Employer 僱主名稱: \_\_\_\_\_  
Nature of Business of Employer 僱主業務性質: \_\_\_\_\_ Position 職位: \_\_\_\_\_ Years of Service with Employer 服務僱主年期: \_\_\_\_\_

- (11) Business/Office Address 營業/辦公地址: Tel No. 電話號碼: ( ) \_\_\_\_\_

Flat 室 Floor 樓數 Block 座數 House 樓/Building 大廈 Estate 屋邨/Garden 花園  
No. and Name of Street 門牌號數及街道名稱 District 分區/Area 地區 Country 國家

(12) Correspondence Address 通訊地址：

- ☐ Same as residential address 與住址相同 ☐ Same as business/office address 與營業 / 辦公地址相同
- ☐ Other address, please specify 其他地址，請說明：

Flat 室	Floor 樓數	Block 座數	House 樓/Building 大廈	Estate 屋邨/Garden 花園
No. and Name of Street 門牌號數及街道名稱			District 分區/Area 地區	Country 國家

(13) Language used in and method of delivering contract notes, daily & monthly statements of account, confirmations and the like

- (a) ☐ Email\* 電郵\* or或 ☐ By post to correspondence address\*\* 郵寄往通訊地址\*\*
- (b) ☐ English 英文發出 or或 ☐ Chinese 中文發出

If you choose to receive electronic account statements, you can read your account statements through email. Accordingly, in the interest of environmental protection, you will not receive account statements by post. 如閣下選擇接收電子帳戶結單，您可經電郵閱覽帳戶結單。基於環境保護的考慮，閣下將不會收到以郵件寄發的帳戶結單。

\* Please see Clause (9)(ii) in Section G  
請參閱G項第(9)(ii)條

If you choose to receive contract notes, daily & monthly statements of account, confirmations and the like by email, you agree to complete and sign such further form (e.g. an Application for Electronic Services (as defined in Clause (14) of Section G)) as may be subsequently required by the company(ies) of EBSI Group from time to time. 若閣下選擇經電郵收取成交單據、帳戶日結單及月結單、確認函及同類文件，閣下同意填妥及簽署光大證券國際集團的公司可能其後不時要求的表格（例如：電子服務申請書（釋義按G項第(14)條））。

\*\* Note: The contract notes, daily & monthly statements of account, confirmations and the like will be sent to the email address(es) as designated in item (9) of Section A (or where applicable, the latest email address(es) you have notified the relevant company(ies) of EBSI Group). If you would like to receive these documents by post, subject to applicable legal and regulatory requirements, the relevant company(ies) of EBSI Group may charge a reasonable fee which may be amended by the relevant company(ies) of EBSI Group at any time and from time to time without prior notice. For details of the said fee, please refer to the fee schedule accompanying the Client Agreement of the relevant company(ies) of EBSI Group or on the website of the relevant company(ies) of EBSI Group.

註：成交單據、帳戶日結單及月結單、確認函及同類文件將會送至A(9)項所指定的電郵地址（或當適用，閣下已通知相關光大證券國際集團的公司之最新近的電郵地址）。然而，如閣下希望透過郵寄方式收到此等文件，在受制於適用法律及監管的要求下，相關光大證券國際集團的公司可向閣下收取合理費用，相關光大證券國際集團的公司可隨時及不時修訂該費用但不會作出事前通知。就上述費用的詳情，閣下可參閱附隨於相關光大證券國際集團的公司之客戶協議或於相關光大證券國際集團的公司之網站上的收費表。

Financial Profile 財務概況

- (14) Annual Income (HK\$) (Note#): ☐ ≤ \$250,000 ☐ \$250,001 - \$500,000 ☐ \$500,001 - \$1,000,000 ☐ \$1,000,001 - \$10,000,000  
每年收入（以港元計）（註#） ☐ \$10,000,001 - \$50,000,000 ☐ \$50,000,001 - \$100,000,000 ☐ >\$100,000,000
- (15) Net Assets (HK\$) (Note#): ☐ ≤ \$50,000 ☐ \$50,001 - \$200,000 ☐ \$200,001 - \$500,000 ☐ \$500,001 - \$1,000,000  
資產淨值（以港元計）（註#） ☐ \$1,000,001 - \$5,000,000 ☐ \$5,000,001 - \$10,000,000 ☐ \$10,000,001 - \$40,000,000 ☐ \$40,000,001 - \$80,000,000  
☐ \$80,000,001 - \$100,000,000 ☐ >\$100,000,000
- (16) Liquid Assets (HK\$) (Note#): ☐ ≤ \$50,000 ☐ \$50,001 - \$200,000 ☐ \$200,001 - \$500,000  
流動資產（以港元計）（註#） ☐ \$500,001 - \$1,000,000 ☐ \$1,000,001 - \$5,000,000 ☐ \$5,000,001 - \$10,000,000  
☐ \$10,000,001 - \$40,000,000 ☐ \$40,000,001 - \$80,000,000 ☐ \$80,000,001 - \$100,000,000 ☐ >\$100,000,000

Remarks: Liquid Assets should be equal to or less than his/her Net Assets. 備註：流動資產應少於或等於其資產淨值。

(17) Initial Source(s) of Wealth 最初財富來源：

- ☐ Salary and/or bonus 薪金及 / 或花紅 ☐ Savings 儲蓄 ☐ Business income 業務收入
- ☐ Return on investment 投資回報 ☐ Retirement funds 退休金
- ☐ Inheritance or gift 遺贈或禮物 ☐ Others (Please specify) 其他（請說明）：\_\_\_\_\_

(18) Ongoing Source(s) of Wealth 持續財富來源：

- ☐ Same as Initial Source(s) of Wealth 與最初財富來源相同
- ☐ Others (Please specify) 其他（請說明）：\_\_\_\_\_

(19) Expected Source(s) & Origin of Funds 資金的預期來源及源頭：

- (a) Expected Source(s) of Funds 資金來源：
- ☐ Salary and/or bonus 薪金及 / 或花紅 ☐ Savings 儲蓄 ☐ Business income 業務收入
- ☐ Return on investment 投資回報 ☐ Retirement funds 退休金
- ☐ Others (Please specify) 其他（請說明）：\_\_\_\_\_

(b) Country(ies) of Origin(s) of Funds 資金來源地：

- ☐ Hong Kong 香港 ☐ Mainland China 中國內地 ☐ Macau 澳門
- ☐ United States 美國 ☐ Canada 加拿大 ☐ Singapore 新加坡
- ☐ Others (Please specify) 其他（請說明）：\_\_\_\_\_

Note#: Please choose one of the options only  
註#：請只選擇其中一項

**SECTION B IDENTITY DECLARATION 身份聲明**

Is the Applicant 申請人是否：

- (1) a senior officer or director of any (listed) company whose shares are traded on any exchange or market? (If yes, please specify the company name and stockcode.)  
任何其股份在交易所或市場買賣的（上市）公司之高級人員或董事？（如是，請說明公司名稱及股份編號。）

☐ Yes 是 (Please specify 請註明： ) ☐ No 否

- (2) a person licensed by or registered with the Hong Kong Securities and Futures Commission<sup>^</sup> or an employee of such person? (^If yes, please specify his/her CE No.)  
香港證券及期貨事務監察委員會持牌或註冊人士<sup>^</sup>或該人士之僱員？（<sup>^</sup>如是，請說明他／她的中央編號。）

☐ Yes 是 (Please specify 請註明： ) ☐ No 否

- (3) a relative of the Wealth Manager responsible for the Applicant's Account(s) to be opened with EBSI Group? (If yes, please state the relationship.)  
光大證券國際集團就此帳戶之負責客戶經理之親屬？（如是，請陳述與之關係。）

☐ Yes 是 (Please specify 請註明： ) ☐ No 否

- (4) Is/Are (i) the Applicant; and/or (ii) spouse, partner, child(ren) and/or parent(s) of the Applicant; and/or (iii) spouse(s) or partner(s) of the child(ren) of the Applicant; and/or (iv) close associate(s)<sup>^^</sup> of the Applicant:  
(i) 閣下；及／或 (ii) 閣下之配偶、伴侶、子女及／或父母；及／或 (iii) 閣下子女的配偶或伴侶；及／或 (iv) 與閣下關係密切的人<sup>^^</sup>是否：

entrusted with prominent public functions (e.g. Head of State or of government, senior politicians/important political officials, senior government officials, senior judicial officials, senior military officials, senior executives of state owned enterprises, important political party official or religious leaders) or entrusted with a prominent function by an international organization<sup>^^^</sup> (e.g. members of senior management, directors, deputy directors and members of the board or equivalent functions)? (If yes, please specify.)

擔任重要公職（例如：國家或政府元首、重要政客、高級政府官員、高級司法人員、高級軍官、國有企業高級行政人員、重要政黨幹事或宗教領袖）或在國際組織<sup>^^^</sup>擔任重要職位（例如：高級管理層、董事、副董事及董事會成員或等同的職位）？（如是，請說明。）

☐ Yes 是 (Please specify 請註明： ) ☐ No 否

<sup>^^</sup> a person is a "close associate" of an individual if the person is  
如某人符合以下說明，該人即屬與某個人（首述個人）關係密切的人：

(a) an individual who has close business relations with the first-mentioned individual, including an individual who is a beneficial owner of a legal person or trust of which the first-mentioned individual is also a beneficial owner; or  
該人是與首述個人有密切業務關係的個人（在首述個人屬某法人或信託的實益擁有人的情況下，包括同樣屬該法人或信託的實益擁有人的個人）；或

(b) an individual who is the beneficial owner of a legal person or trust that is set up for the benefit of the first-mentioned individual.  
該人是屬某法人或信託的實益擁有人的個人，而該法人或信託是為首述個人的利益而成立的。

<sup>^^^</sup> International organisations are entities established by formal political agreements between their member States that have the status of international treaties; their existence is recognised by law in their member countries; and they are not treated as resident institutional units of the countries in which they are located.

國際組織是成員國之間按具備國際條約地位的正式政治協議成立的實體；其地位獲成員國的法律認可；及它們並非被視為所處國家的常駐機構單位。

- (5) Is the Applicant a director, ex-director in the past 12 months, chief executive, substantial shareholder\* or supervisor\*\* of any company(ies) of the China Everbright Group, or an associate\*\*\* of the above-mentioned people? (If yes, please provide the name of the relevant company(ies) and the role/relationship of the Applicant.)

申請人是否中國光大集團旗下任何公司的董事、過去十二個月內的前董事、行政總裁、主要股東\*或監事\*\*，或是上述人士的聯繫人\*\*\*？（如是，請提供相關公司的名稱及申請人所擔任的職務/關係。）

☐ Yes 是 (Please specify 請註明： ) ☐ No 否

\* "substantial shareholder" means, in relation to a company, a person who is entitled to exercise, or control the exercise of, 10% or more of the voting power at any general meeting of the company.

「主要股東」指，就一間公司而言，任何人士其有權在該公司股東大會行使或控制行使10%或以上的投票權。

\*\* "supervisor" means a member elected to the supervisory committee of a PRC company which under PRC law performs a supervisory function in relation to such company's board of directors, the manager and other officers.

「監事」指獲選舉為中國公司的監事會的成員者。根據中國法律，監事會負責監督該公司的董事會、經理級其他該高級管理人員。

\*\*\* "associates" of an individual includes his spouse (or any person cohabiting with him as a spouse), his (or his spouse's) child or step-child (legitimate or not, natural or adopted), parent or step-parent, brother or step-brother, sister or step-sister, and a trustee of or for any of the foregoing persons.

「聯繫人」包括該個人的配偶（或與其同居儼如配偶的人士）、其本人（或其配偶）的子女或繼子女（不論是否合法，親生或領養）、其父母或繼父母、兄弟或繼兄弟、姐妹或繼姐妹、及任何前述人士的受託人。

**SECTION C FOR COMPLETION BY APPLICANT APPLYING FOR MARGIN SECURITIES TRADING ACCOUNT**  
由孖展證券交易帳戶申請人填寫

- (1) Is your spouse a margin client of any company of EBSI Group? (If yes, please provide details.)

申請人的配偶是否光大證券國際集團之任何公司的孖展客戶？（如是，請提供詳情。）

☐ Yes 是 (Please specify 請註明： ) ☐ No 否

- (2) Do you in solely or jointly with your spouse control 35% or more of the voting rights of a corporate margin client of any company of EBSI Group? (If yes, please provide details.)

申請人是否單獨或與配偶共同控制光大證券國際集團之任何公司的一個孖展公司客戶35%或以上的表決權？（如是，請提供詳情。）

☐ Yes 是 (Please specify 請註明： ) ☐ No 否

- (3) (a) To your best knowledge, are you a beneficial owner of another client's (other than your spouse) margin account(s) under EBSI Group?  
就您所知，您是否另一名光大證券國際集團孖展客戶（配偶除外）的實益擁有人？

☐ Yes 是 ☐ No 否

- (b) If "Yes" is selected in 3(a) above, please provide details of the above-mentioned margin client(s):

如果在上述3(a)中選擇了「是」，請提供上述孖展客戶的詳情：

i) Name Identity Card/Passport/Certificate of Incorporation No.

姓名： 身份證 / 護照 / 公司註冊證書號碼：

☐ HKID香港身份證 ☐ CNID中國身份證 ☐ Macau ID澳門身份證 ☐ Passport護照

☐ Others (Please specify) 其他（請註明）：

ii) Name Identity Card/Passport/Certificate of Incorporation No.

姓名： 身份證 / 護照 / 公司註冊證書號碼：

☐ HKID香港身份證 ☐ CNID中國身份證 ☐ Macau ID澳門身份證 ☐ Passport護照

☐ Others (Please specify) 其他（請註明）：

- (4) (a) To your best knowledge, are you a guarantor of other margin client(s) of EBSI Group for their financial liabilities under any guarantee arrangement(s)?

就您所知，您是否在任何擔保安排下為其他光大證券國際集團孖展客戶的財務負債作為擔保人？

☐ Yes 是 ☐ No 否

- (b) If "Yes" is selected in 4(a) above, please provide the details of the above-mentioned margin client(s) of EBSI Group:

如果在上述4(a)中選擇了「是」，請提供上述孖展客戶的詳情：

i) Name Identity Card/Passport/Certificate of Incorporation No.

姓名： 身份證 / 護照 / 公司註冊證書號碼：

☐ HKID香港身份證 ☐ CNID中國身份證 ☐ Macau ID澳門身份證 ☐ Passport護照

☐ Others (Please specify) 其他（請註明）：

ii) Name Identity Card/Passport/Certificate of Incorporation No.

姓名： 身份證 / 護照 / 公司註冊證書號碼：

☐ HKID香港身份證 ☐ CNID中國身份證 ☐ Macau ID澳門身份證 ☐ Passport護照

☐ Others (Please specify) 其他（請註明）：

- (c) To your best knowledge, do you have any financial liabilities under your margin account(s) which are subject to any guarantee arrangement(s)?

就您所知，您的孖展帳戶下的財務負債是否有任何擔保安排？

☐ Yes 是 ☐ No 否

- (d) If "Yes" is selected in 4(c) above, is the above-mentioned guarantor(s) a margin client(s) of EBSI Group?

如果在上述4(c)中選擇了「是」，上述擔保人是否光大證券國際集團的孖展客戶？

☐ Yes 是 ☐ No 否



- (e) If "Yes" is selected in 4(d) above, please provide details of the above-mentioned guarantor(s):  
如果在上述4(d)中選擇了「是」，請提供上述擔保人的詳情：
- i) Name \_\_\_\_\_ Identity Card/Passport/Certificate of Incorporation No. \_\_\_\_\_  
姓名：\_\_\_\_\_ 身份證 / 護照 / 公司註冊證書號碼：\_\_\_\_\_  
☐ HKID香港身份證 ☐ CNID中國身份證 ☐ Macau ID澳門身份證 ☐ Passport護照  
☐ Others (Please specify) 其他（請註明）：\_\_\_\_\_
- ii) Name \_\_\_\_\_ Identity Card/Passport/Certificate of Incorporation No. \_\_\_\_\_  
姓名：\_\_\_\_\_ 身份證 / 護照 / 公司註冊證書號碼：\_\_\_\_\_  
☐ HKID香港身份證 ☐ CNID中國身份證 ☐ Macau ID澳門身份證 ☐ Passport護照  
☐ Others (Please specify) 其他（請註明）：\_\_\_\_\_
- (f) If "No" is selected in 4(d) above, to your best knowledge, are you aware of other margin client(s) of EBSI Group whose financial liabilities are guaranteed by the above-mentioned guarantor(s)?  
如果在上述4(d)中選擇「否」，就您所知，您是否知悉有其他光大證券國際集團孖展客戶，其財務負債由上述同一擔保人作擔保？  
☐ Yes是 ☐ No否
- (g) If "Yes" is selected in 4(f) above, please provide the details of the above-mentioned margin client(s) of EBSI Group:  
如果在上述4(f)中選擇了「是」，請提供上述光大證券國際集團孖展客戶的詳情：
- i) Name \_\_\_\_\_ Identity Card/Passport/Certificate of Incorporation No. \_\_\_\_\_  
姓名：\_\_\_\_\_ 身份證 / 護照 / 公司註冊證書號碼：\_\_\_\_\_  
☐ HKID香港身份證 ☐ CNID中國身份證 ☐ Macau ID澳門身份證 ☐ Passport護照  
☐ Others (Please specify) 其他（請註明）：\_\_\_\_\_
- ii) Name \_\_\_\_\_ Identity Card/Passport/Certificate of Incorporation No. \_\_\_\_\_  
姓名：\_\_\_\_\_ 身份證 / 護照 / 公司註冊證書號碼：\_\_\_\_\_  
☐ HKID香港身份證 ☐ CNID中國身份證 ☐ Macau ID澳門身份證 ☐ Passport護照  
☐ Others (Please specify) 其他（請註明）：\_\_\_\_\_

## SECTION D GENERAL INFORMATION 一般資料

### (1) Capacity of the Applicant 申請人之身份

- Is the Applicant 申請人是否
- a. the ultimate beneficiary of the Account and transactions ("ultimate beneficiary")? ☐ Yes 是 ☐ No 否  
(Normally EBSI Group would not accept an Applicant who is not the ultimate beneficiary.)  
帳戶及交易的最終實益持有人（「最終實益持有人」）？  
（光大證券國際集團一般情況下不會接受非最終實益持有人之申請人。）
- b. ultimately responsible for originating instructions (trading and/or others) for the Account? ☐ Yes 是 ☐ No 否\*  
(\*Please complete EBSI Group's "Declaration of person/entity ultimately responsible for originating the instruction in relation to a transaction".)  
為此帳戶之最終負責作出指示（交易及 / 或其他指示）的人士？  
（\* 請填寫光大證券國際集團的「最終負責作出交易指示的人士 / 實體之聲明」。）
- c. the only person with authority to operate the Account? \*\* ☐ Yes 是 ☐ No 否\*\*  
(\*\*Please complete "Third Party Authorization - Individual or Joint Account".)  
唯一有權操作此帳戶者？  
（\*\* 請填寫「第三者授權表格－個人或聯名帳戶」。）

### (2) Designated Bank Account Details 指定銀行帳戶詳情

Designated bank: \_\_\_\_\_ Bank account no.: \_\_\_\_\_  
指定銀行: \_\_\_\_\_ 銀行帳戶號碼: \_\_\_\_\_

Name of bank account holder: \_\_\_\_\_  
銀行帳戶持有人姓名: \_\_\_\_\_

Jurisdiction of receiving bank: \_\_\_\_\_  
收款銀行所在司法管轄區: ☐ Hong Kong 香港 ☐ Mainland China 中國內地 ☐ Macau 澳門  
☐ Others (Please specify) 其他（請說明）: \_\_\_\_\_



**SECTION E FACILITIES APPLICATION 額度申請****Office Use:** TO BE COMPLETED BY (i) HEAD OF EBSI DIRECT (OR DELEGATE) (for EBSDFHK); or (ii) Wealth Manager (for other EBSI Group entities)

由(i)數字金融部主管(或其代表)(適用於光證數金香港);或(ii)客戶經理(適用於其他光大證券國際集團的公司)填寫

**For Cash Securities Trading Account**

現金證券交易帳戶

Proposed Settlement Limit: HK\$ \_\_\_\_\_ 港元

建議結算限額

**For Margin Securities Trading Account**

孖展證券交易帳戶

Proposed Credit Limit: HK\$ \_\_\_\_\_ 港元

建議貸款限額

Overdraft Interest Rate 透支利率: \_\_\_\_\_ % plus prime lending rate 加優惠利率

Security % Limit 抵押比率: \_\_\_\_\_ %

(Acceptance 可接受貨值)

**For Margin Securities Trading Account  
(Financial Products Financing)**

孖展證券交易帳戶 - (理財產品融資帳戶)

Proposed Credit Limit: HK\$ \_\_\_\_\_ 港元

建議貸款限額

Overdraft Interest Rate 透支利率: \_\_\_\_\_ % plus 3-month HIBOR 加港元香港銀行同業拆息(3個月)

Security % Limit 抵押比率: \_\_\_\_\_ %

(Acceptance 可接受貨值)

**For Asset Power Account**

資富理財帳戶

Proposed Settlement Limit (For Asset Power Cash)

建議結算限額(適用於現金資富理財帳戶):

HK\$ \_\_\_\_\_ 港元

Proposed Credit Limit (For Asset Power Margin)

建議貸款限額(適用於孖展資富理財帳戶):

HK\$ \_\_\_\_\_ 港元

Overdraft Interest Rate 透支利率: \_\_\_\_\_ % plus 3-month HIBOR 加港元香港銀行同業拆息(3個月)

Security % Limit 抵押比率: \_\_\_\_\_ %

(Acceptance 可接受貨值)

**For Stock Options Trading Account**

股票期權交易帳戶

Proposed Position Limit: HK\$ \_\_\_\_\_ 港元

建議持倉限額

Other Terms 其他條款: \_\_\_\_\_

**For OTC Swap Account**

場外掉期帳戶

Proposed Position Limit: HK\$ \_\_\_\_\_ 港元

建議持倉限額

Other Terms 其他條款: \_\_\_\_\_

**For Commodities Trading Account**

期貨交易帳戶

Proposed Position Limit: HK\$ \_\_\_\_\_ 港元

建議持倉限額

Other Terms 其他條款: \_\_\_\_\_

**For Global Payments Account**

環球付款帳戶

Proposed Transaction Limit: US\$ \_\_\_\_\_ 美元

建議交易限額

**For Leveraged Foreign Exchange Trading Account**

槓桿式外匯交易帳戶

Proposed Position Limit: US\$ \_\_\_\_\_ 美元

建議持倉限額

## SECTION F APPLICANT'S AGREEMENT & ACKNOWLEDGEMENT 申請人之承諾及確認

I have read and fully understood the contents of this Account Application and the Client Agreement and agree to be bound by them.

本人已閱讀並完全明白本開戶申請表及客戶協議之內容，並同意受其等所約束。

I have read and fully understood the additional terms and conditions set out or referred to in Section G and Section H (including the Standing Authority(ies), where applicable) of this Account Application relating to the account(s), service(s) and/or product(s) to which I have chosen in this Account Application, and agree to be bound by them.

就本人在本開戶申請表上揀選之戶口、服務及／或產品，本人已閱讀並完全明白在G項及H項(包括該(等) 常設授權，如適用)所載或提述與該(等) 戶口、服務及／或產品有關的條款及條件，並且同意受其等所約束。

I declare that I am not currently employed by any licensed or registered person to carry on regulated activities as defined in the Securities and Futures Ordinance (Cap.571 of the Laws of Hong Kong) (the "Ordinance"). Otherwise, I understand that I am required to provide to EBSI Group written consent from my employer before I can open and operate an account with EBSI Group. I undertake to promptly notify EBSI Group if I become or cease to be employed by any licensed or registered person to carry out regulated activities.

本人聲明本人現時並非受僱於任何持牌人或註冊人以從事《證券及期貨條例》(香港法例第571章) (「條例」) 界定的受規管活動。否則，本人明白本人須向光大證券國際集團提供本人僱主的書面同意方可於光大證券國際集團開立並使用帳戶。本人承諾如本人將受僱或不再受僱於何持牌人或註冊人以從事受規管活動時，將立即通知光大證券國際集團。

Note: A licensed person means a licensed corporation licensed under the Ordinance. A registered person means a registered institution registered under the Ordinance.

注意：持牌人指根據條例獲發牌照的持牌法團。註冊人指根據條例註冊的註冊機構。

Further, I confirm that the relevant Risk Disclosure Statements (if applicable) and/or Risk Disclosure Information (if applicable) in or accompanying the Client Agreement have been provided in a language of my choice (English or Chinese) and that I have read, understood and accepted the nature and contents thereof. I appreciate that they are not and cannot be taken as a comprehensive or exhaustive list of all possible risks. I confirm that I have been given the opportunity to ask questions and take independent advice if I so wish.

再者，本人確認載於或附隨客戶協議及附件之風險披露聲明(若適用)及／或風險披露資料(若適用)已按本人選擇之語言(英文或中文)提供予本人，及本人已閱讀，明白并接受其／其等(若適用)性質及內容。本人明白它們不是而且不能被當作一份完全或徹底列舉所有潛在風險的清單。此外，本人已被給予機會提出問題及徵求獨立的意見(若本人有此意願)。

In case I execute this Account Application not before an EBSI Group staff/EBSI Group licensed representative, or in case I execute this Account Application in accordance with any non-face to face procedures as may be permitted by the applicable laws and/or regulatory requirements, I confirm that I am aware that (i) EBSI Group will contact me via telephone call ("Follow-up Call") to explain to me the Risk Disclosure Statements and, if applicable, Risk Disclosure Information before permitting me to trade under any account to be opened under this Account Application and (ii) if I do not confirm that I fully understand and accept the relevant risks during such Follow-up Call, I can immediately withdraw this Account Application and have this Account Application and supporting documents returned to me.

若本人並非在一名光大證券國際集團員工／光大證券國際集團持牌代表面前簽署此開戶申請表，或本人在適用法律及／或監管規定准許的情況下根據非親身開戶程序簽署此開戶申請表，本人確認本人知悉(i)在本人獲准在根據此開戶申請表開立的帳戶內進行交易前，光大證券國際集團將會電話聯絡本人(「跟進電話」)以解釋風險披露聲明及風險披露資料(若適用)；(ii)若本人在跟進電話中不確認本人完全明白並接受有關的風險，本人可以立刻取消有關申請並取回此開戶申請表及相關證明文件。

### For Cash Securities Trading Account(s) and Margin Securities Trading Account(s) Only

只適用於現金證券交易帳戶及孖展證券交易帳戶

I also confirm that the RISKS OF TRADING IN EXCHANGE-TRADED STRUCTURED PRODUCTS (e.g. Derivative Warrants, Callable Bull/Bear Contracts) and RISKS OF TRADING IN SYNTHETIC EXCHANGE TRADED FUNDS contained in the above-mentioned Risk Disclosure Statements have been explained to me and I have understood the contents thereof.

本人確認已獲載於以上風險披露聲明之「買賣交易所買賣之結構性產品及衍生工具(例如：衍生權證，牛熊證)的一些相關風險」及「買賣合成交易所買賣基金的風險」之講解，且本人已明白其內容。

### For Margin Securities Trading Account(s) Only

只適用於孖展證券交易帳戶

I have read and fully understand the contents of the Standing Authority within the meaning of section 4(1) of the Securities and Futures (Client Securities) Rules (Cap. 571H, Laws of Hong Kong) and Standing Authority within the meaning of section 8(1) of the Securities and Futures (Client Money) Rules (Cap. 571I, Laws of Hong Kong) (see Section H) and agree to be bound by them.

本人已閱讀並完全明白香港法例第571H章《證券及期貨(客戶證券)規則》第4(1)條所指的常設授權及香港法例第571I章《證券及期貨(客戶款項)規則》第8(1)條所指的常設授權的內容(請參閱本申請表之H項)，並且同意受其等所約束。

### For US Online Securities Trading Accounts Only

只適用於網上美國證券交易帳戶

(I) In addition, I have received the agreements of the information services provider(s) listed below ("ISP Agreements") (if applicable) and have read and fully understood the terms contained therein and agree to be bound by all the terms of the applicable ISP Agreement(s). (II) I have received the Anti-Money Laundering Undertakings, Representations and Warranties and have read and fully understand, and hereby undertake, represent and warrant to EBSISHK in, and agree to, the terms contained therein (if applicable). (III) I consent that EBSISHK may, at my own risk, send my Access Codes (as defined in the Client Agreement of EBSISHK) for my US online securities trading account to my email address(es) specified in Section A of this Account Application and I understand and accept all the risks associated with the sending of the Access Codes to my aforesaid email address(es) (including, without limitation, the risks arising from the unreliable and public nature of the Internet which may cause incorrect information transmission or loss of confidentiality of the information transmitted).

(I) 再者，本人已收到以下所列資料服務供應商的協議(「資料服務供應商協議」)(若適用)並已閱讀及完全明白當中所載的條款，並各同意受適用的資料服務供應商協議的所有條款所約束。(II)本人已收到反洗黑錢承諾、聲明及保證並已閱讀及完全明白當中所載的條款以及謹此就該等條款向光證投資服務香港作出承諾、聲明、陳述及保證，並同意該等條款(如適用)。(III)本人同意：在風險由本人獨自承擔下，光證投資服務香港可將本人的網上美國證券交易帳戶的接達密碼(定義詳於光證投資服務香港的客戶協議)送往於本開戶申請表A項所指明的本人電郵地址(一個或多個)處及本人明白及接受所有與將本人的網上美國證券交易帳戶的接達密碼送往本人前述的電郵地址處相關之風險(一個或多個)(包括但不限於因互聯網的不可靠及公眾的性質所產生之風險而這些性質可能導致傳輸不正確資料或所傳輸之資料失卻其保密性)。

#### The ISP Agreements:

資料服務供應商協議：

- Agreements & Disclosures/Equities Non-Professional Market Data Agreement:  
協議及披露 / 股票非專業市場數據協議：
  - NYSE and Amex Terms and General Applicability of Market Data  
紐約證券交易所(NYSE)及美國證券交易所(Amex)的條款及市場數據的普遍適用性
  - OPRA Exchange Agreement – Non Professional Subscriber Application and Agreement:  
期權報價管理局交易協議 – 非專業用戶申請及協議  
(Last Sale and Quotation Information for Personal Non-business Use Only)  
(僅供個人非商業用途的最新沽售及報價資料)
- Dow Jones Indices Terms and Conditions 道瓊斯指數條款及條件
- Agreements & Disclosures/On-Line Nasdaq Subscriber Agreement  
協議及披露 / 網上納斯達克用戶協議
- Other ISP Agreement as notified or updated by EBSI Group from time to time  
其他光大證券國際集團不時通知或更新的資料服務供應商協議

**For OTC Swap Account(s) Only (if applicable)****只適用於場外掉期帳戶（如適用）**

I acknowledge and agree that all transactions carried out in the OTC Swap Account will be subject to the OTC Swap T&Cs (Individuals) with the specific terms and conditions as stated in the Confirmation in respect of each specific transaction or other confirming evidence. I confirm that I have read and fully understand the contents of the OTC Swap T&Cs (Individuals), including without limitation the generic risks associated with over-the-counter derivative transactions listed in Second Schedule (Risk Disclosures) thereof, and agree to be bound by them.

本人確認並同意於場外掉期帳戶下開展之所有交易，將受「場外掉期條款及細則（個人）」以及確認書所載之關乎各項個別交易或其他確認證據之特定條款及細則約束。本人確認已閱讀並完全明白場外掉期條款及細則（個人）之內容，包括但不限於場外掉期條款及細則（個人）的附件2（風險披露）中列明的場外交易衍生產品相屬之風險，並同意受其等所約束。

**For Global Payments Account(s) – Spot FX****只適用於環球付款帳戶 – 現貨外匯**

I have read and fully understand the contents of CESFXHK Global Payments Spot Contract Terms and Conditions, as issued or imposed by CESFXHK from time to time, and agree to be bound by them.

本人已閱讀並完全明白光證外匯香港不時發出或施加的光證外匯香港「匯款易」現貨合約條款及條件之內容，並同意受其約束。

**For Global Payments Account(s) – Spot & Forward FX****只適用於環球付款帳戶 – 現貨及遠期外匯**

I have read and fully understand the contents of CESFXHK's Client Agreement and Schedules and agree to be bound by them.

本人已閱讀並完全明白光證外匯香港的客戶協議及附件，並同意受其約束。

**For Collective Investment Scheme Account(s)****只適用於集體投資計劃帳戶**

I, the Applicant, would like to apply to open a collective investment scheme account and to use EBSISHK's online service to view mutual funds portfolio after opening of the account.

本人，即申請人，欲申請開立集體投資計劃帳戶及在開立帳戶後使用互惠基金帳戶網上查閱服務查閱帳戶資料。

I, the Applicant, understand that front-end fee (partly/fully as commission payable to EBSISHK) is charged up to a maximum percentage of the investment amount stated on prospectus or explanatory memorandum of the relevant fund. Certain funds may charge redemption fee, switch fee and/or annual management fee, all or part of which may be payable to EBSISHK by the relevant fund management company or its associated company. Detailed information of such fees can be found in the prospectus or explanatory memorandum of the relevant fund. In any event, the fees receivable by EBSISHK will not exceed the maximum amount of such fees as set out in the prospectus or explanatory memorandum of the relevant fund. All or part of the fees received by EBSISHK will be paid to the wealth manager serving your account as his/her commission.

本人，即申請人，明白首次認購費為個別基金於其認購章程或解釋備忘錄內所註明的最高收費，除非另有註明，而其中部分或全部收費會是光證投資服務香港所收取的佣金。個別基金可能收取贖回費、轉換費或/及年度管理費，而有關的基金管理公司或其關聯公司可能會把其中的部分或全部支付予光證投資服務香港。有關收費詳情請參閱有關基金的認購章程或解釋備忘錄。在任何情況下，光證投資服務香港都不會收取高於認購章程或解釋備忘錄訂明的最高收費。光證投資服務香港會將部分或全部所收的費用付給服務閣下的經紀作為其佣金收入。

I, the Applicant, agree and acknowledge the aforesaid arrangement

本人，即申請人，同意及確認上述之安排

Executed as a deed on 簽訂作契約於：\_\_\_\_\_

(Insert date) (填上日期)

Signed, sealed and delivered as a deed by 簽署、蓋印及交付以作為契約：

**Applicant's Signature#:**

申請人簽署#：

**Witnessed by staff/licensed representative of the company(ies) of EBSI Group\*:**

由光大證券國際集團的公司之僱員 / 持牌代表見證\*：

**Name of the staff/licensed representative of the company(ies) of EBSI Group:**

光大證券國際集團僱員 / 持牌代表的姓名：

X \_\_\_\_\_

EBSI Group does not accept any amendments to the signature or crossing-out and re-signing.  
光大證券國際集團不接受對簽名的任何修改或對其刪改及再簽署。

CE No.  
中央編號

# This signature shall be recorded as the latest specimen signature for the Account and all other accounts held by the Applicant with EBSI Group. The Applicant agrees and authorizes EBSI Group to update the relevant records accordingly. 此簽署將被記錄為本帳戶及申請人在光大證券國際集團的其他所有帳戶的最新簽署樣式，申請人同意及授權光大證券國際集團據此更新其相關記錄。

\* If the witness is not an EBSI Group staff/EBSI Group licensed representative, please sign in the Certification below. 如見證人並非光大證券國際集團僱員 / 光大證券國際集團持牌代表，請簽署以下核證。

**CERTIFICATION (to be completed when Account Application is not signed before a staff member/licensed representative of EBSI Group)**

核證（如開戶申請表並非在光大證券國際集團的僱員 / 持牌代表面前簽署，請填此欄）

I am a \* Justice of the Peace / branch manager of a licensed bank / lawyer (practicing) / certified public accountant (practicing) / notary public / chartered secretary / person acting on behalf of the affiliate of a licensed corporation of EBSI Group named below/SFC licensed or registered person accredited to the intermediary named below. I hereby certified that on the date above written in this Section F, this Account Application was executed by the Applicant named in this Account Application (who had been previously identified by production of the original of his/her Identity Card or Passport (detailed above) to me) in my presence.

本人乃\*太平紳士 / 持牌銀行分行經理 / 執業律師 / 執業會計師 / 公證人 / 特許秘書 / 代表光大證券國際集團持牌法團的聯繫人士的人士 / 隸屬以下所指名之中介團體之證監會持牌或註冊人士。本人現證實：於以上在本F項所寫的日期當日，本開戶申請表乃由本開戶申請表所指名的申請人（其身份已根據並向本人出示之身份證或護照（詳見上方）正本作核實）簽署。

\* Please delete as appropriate 請刪去不適用者

Signature of the certifier 證明人簽署

Date 日期

Name of the certifier (please print)

Title (please print)

證明人姓名（正楷）

銜頭（正楷）

CE No. or relevant registration number of the certifier (if applicable)

證明人之中央編號或相關註冊編號（如適用）

Name and CE No. of the intermediary or name of affiliate to which the certifier is accredited / act on behalf of (if applicable)

證明人所隸屬或代表之中介團體名稱及中央編號或聯繫公司名稱（如適用）



**Declaration by a licensed person accredited to the company(ies) of EBSI Group****隸屬於光大證券國際集團的公司持牌人士聲明**

I confirm that I have provided the Risk Disclosure Statements (if applicable) and/or Risk Disclosure Information (if applicable) in or accompanying the Client Agreement in a language of the Applicant's choice (English or Chinese), and have invited the Applicant to read such Risk Disclosure Statements (if applicable) and/or such Risk Disclosure Information (if applicable), ask questions and take independent advice if he/ she wishes. 本人確認已經按申請人所選擇語言（英文或中文）提供載或附於客戶協議的風險披露聲明（若適用）及／或風險披露資料（若適用），並已邀請申請人閱讀該／該等風險披露聲明（如適用）及／或風險披露資料（若適用），提出問題及徵求獨立的意見（如其有此意願）。

I hereby confirm that I have not engaged in, and undertake that I will not engage in any activities or have any formal or informal arrangements in place to assist the Applicant or clients of EBSI Group to circumvent the account identification requirements in relation to the Foreign Account Tax Compliance Act of the United States of America.

本人在此確認本人沒有從事、亦承諾在將來不會從事任何活動或有任何正式或非正式安排以協助申請人或光大證券國際集團的客戶規避有關美國海外帳戶納稅法案(Foreign Account Tax Compliance Act)。

**For Cash Securities Trading Account(s) and Margin Securities Trading Account(s) Only****只適用於現金證券交易帳戶及孖展證券交易帳戶**

I confirm that I have explained to the Applicant the RISKS OF TRADING IN EXCHANGE-TRADED STRUCTURED PRODUCTS (e.g. Derivative Warrants, Callable Bull/Bear Contracts) and RISKS OF TRADING IN SYNTHETIC EXCHANGE TRADED FUNDS contained in the above-mentioned Risk Disclosure Statements.

本人確認已向申請人講解載於上述風險披露聲明之「買賣交易所買賣之結構性產品及衍生工具（例如：衍生權證，牛熊證）的一些相關風險」及「買賣合成交易所買賣基金的風險」。

**For Margin Securities Trading Account(s) Only****只適用於孖展證券交易帳戶**

I confirm that I have explained to the Applicant the contents of the Standing Authority within Section 4(1) of the Securities and Futures (Client Securities) Rules (Cap. 571H, Laws of Hong Kong) (See Section H of this Application) and invited the Applicant to take independent advice if he/she wishes.

本人確認已向申請人講解香港法例第571H章《證券及期貨(客戶證券)規則》第4(1)條所指的常設授權（請參閱本申請表之H項），並已邀請申請人徵求獨立的意見（如其有此意願）。

**For All Account(s)****適用於所有帳戶**

I confirm that I have explained to the Applicant the contents of the Standing Authority within Section 8(1) of the Securities and Futures (Client Money) Rules (Cap. 571I, Laws of Hong Kong) (See Section H of this Application) and invited the Applicant to take independent advice if he/she wishes.

本人確認已向申請人講解香港法例第571I章《證券及期貨(客戶款項)規則》第8(1)條所指的常設授權（請參閱本申請表之H項），並已邀請申請人徵求獨立的意見（如其有此意願）。

**For Online Securities Trading Accounts Only****只適用於網上美國證券交易帳戶**

(I) I confirm that I have provided the ISP Agreements (defined above) (if applicable) to the Applicant and have invited the Applicant to read the terms contained in the applicable ISP Agreement(s). (II) I have provided and invited the Applicant to read the Anti-Money Laundering Undertakings, Representations and Warranties (if applicable). (III) I have explained to the Applicant that EBSISHK may, at the Applicant's own risk, send the Applicant's Access Codes (as defined in the Client Agreement of EBSISHK) for to the Applicant's email address(es) specified in Section A of this Account Application and I have explained the risks associated with the sending of the Applicant's Access Codes to the Applicant's aforesaid email address(es) (including, without limitation, the risks arising from the unreliable and public nature of the Internet which may cause incorrect information transmission or loss of confidentiality of the information transmitted).

(I)本人確認本人已向申請人提供資料服務供應商協議（定義如上）（如適用）並已邀申請人閱讀適用之資料服務供應商協議中的條款。(II)本人已提供並邀申請人閱讀反洗黑錢承諾、聲明及保證（如適用）。(III)本人已向申請人說明：在風險由申請人獨自承擔下，光證投資服務香港可將申請人的接達密碼（定義見光證投資服務香港的客戶協議）送往於本開戶申請表A項所指明的申請人的電郵地址處，以及本人已說明將申請人的接達密碼送往申請人前述的電郵地址處相關之風險（包括但不限於因互聯網的不可靠及公開之性質，這些性質可能導致傳輸不正確資料或所傳輸之資料失卻其保密性所產生的風險）。

**For Stock Options Trading Account(s) Only****只適用於股票期權交易帳戶**

I confirm that I have discussed matters relating to options with the Applicants and based on the information provided, I believe that the Applicant has sufficient income and liquid assets to meet his/her obligations in respect of the options activity proposed and that such activity is reasonably suitable for the Applicant.

本人確認本人已與申請人商討有關期權買賣之事宜，根據所提供之資料，本人相信各申請人有足夠收入及流動資產應付建議之期權買賣活動的有關責任，申請人亦適合進行此項買賣活動。

**For OTC Swap Account(s) Only****只適用於場外掉期帳戶**

I confirm that I have explained to each Applicant the risks associated with over-the-counter derivative transactions listed in Second Schedule (Risk Disclosures) of the OTC Swap T&Cs (Individuals).

本人確認本人已向各申請人解釋場外掉期條款及細則（個人）的附件2（風險披露）中列明的場外交易衍生產品相屬之風險。

Signature of licensed person 持牌人簽署

Date 日期

Name of licensed person (please print)

持牌人姓名（正楷）

CE No. (please print)

中央編號（正楷）

Documentation checked by 文件查對人：

## SECTION G TERMS 條款

- (1) The Account is a non-discretionary account, which means that every trade conducted in it must be specifically authorized orally/in writing by the Applicant or, if applicable, any person(s) duly authorized by the Applicant pursuant to this Account Application, the Client Agreement and/or the OTC Swap T&Cs (Individuals) and/or other relevant terms and conditions issued by the company(ies) of EBSI Group from time to time.
- 帳戶為非全權代客買賣帳戶，乃指帳戶內每項交易必須得申請人或根據本開戶申請表、客戶協議、場外掉期條款及細則（個人）及／或光大證券國際集團的公司不時發出的其他相關條款及條件所訂明之一位或多位恰當地獲授權人士（若適用），以口頭或書面形式發出的特定授權才可進行交易。

- (2) Save for Clause (13) of this Section G, this Account Application is subject to the Client Agreement and Documents as amended from time to time. Unless otherwise indicated in writing by the relevant company(ies) of EBSI Group, the Documents shall together constitute the entire agreement and understanding between the Applicant and the relevant company(ies) of EBSI Group in respect of the matters contemplated under the Documents. Terms defined in the Client Agreement have the same meanings when used in this Account Application (save where otherwise expressly provided in this Account Application). Save for Clause (13) of this Section G, in the event of any conflict or inconsistency between the Client Agreement and any other document entered into between the Applicant and the relevant company(ies) of EBSI Group and this Account Application, the Client Agreement and such other document entered into between the Applicant and the relevant company(ies) of EBSI Group shall prevail to the extent of such conflict or inconsistency.

除本G項第(13)條外，本開戶申請表乃受客戶協議及文件（及其不時之修訂本）所規限。除非相關光大證券國際集團的公司另有書面表示，否則文件將一起構成申請人與相關光大證券國際集團的公司之間就文件所預期之事宜的全部協議及諒解。本開戶申請表所用之詞語與客戶協議所定義者具相同釋義（除非於本開戶申請表內另有明示指定）。除本文G項第(13)條外，倘若客戶協議及附件及申請人與相關光大證券國際集團的公司間之任何其他文件與本開戶申請表有任何矛盾或不相同之處，當以客戶協議及附件及申請人與相關光大證券國際集團的公司間之任何其他文件為準，但只限於該矛盾或不相同之處。

- (3) The company(ies) of EBSI Group will not automatically release the Applicant's name and address as supplied in this Account Application to Hong Kong Securities Clearing Company Limited for receiving corporate communications directly from a relevant listed issuer(s). A separate authorization (as specified by the company(ies) of EBSI Group from time to time) to company(ies) of EBSI Group signed by the Applicant will be required for this purpose.

光大證券國際集團的公司不會自行將在本開戶申請表上所提供之申請人姓名及地址給予香港中央結算有限公司以作直接收取有關上市發行機構之公司通訊。申請人需另行向光大證券國際集團的公司簽訂由光大證券國際集團的公司不時指定之有關授權。

- (4) The Applicant hereby declares and represents that the information provided on, with, and / or pursuant to this Account Application is true, accurate, complete and up-to-date and that all action necessary to authorize the disclosure of such information to the company(ies) of EBSI Group and the use of such information by the company(ies) of EBSI Group for any purposes contemplated under or related to this Account Application has been taken. The Applicant hereby undertakes to provide such further information as subsequently and reasonably requested by the company(ies) of EBSI Group from time to time or otherwise required under the Client Agreement. The Applicant hereby further undertakes to notify the company(ies) of EBSI Group promptly of any change to any aforesaid information. The company(ies) of EBSI Group is entitled to rely fully on all aforesaid information for all purposes until the company(ies) of EBSI Group is notified to the contrary in writing and any such written notification shall be duly signed by the Applicant. The Applicant understands and accepts that unless otherwise agreed by the company(ies) of EBSI Group in writing, any change to any aforesaid information shall not take effect until 5 days after the actual receipt by the company(ies) of EBSI Group of the relevant written notification.

申請人聲明及上述開戶申請表上提供、隨附及／或按本開戶申請表所提供的資料皆為真實、準確、完整及為最新的，並且已採取一切必要行動獲授權可向光大證券國際集團的公司披露該等資料及光大證券國際集團的公司可為本開戶申請表所預期或關於其目的而使用該等資料。申請人並承諾此後根據客戶協議書及附件或光大證券國際集團之合理要求，不時向光大證券國際集團的公司提供其他資料。申請人現再承諾即時通知光大證券國際集團的公司任何前述資料之任何變更。除非光大證券國際集團的公司接獲申請人以書面通知的任何變更，否則光大證券國際集團的公司有權完全依賴所有前述之資料作一切用途及任何該等書面通知須由申請人恰當地簽署。申請人明白及接受：除非光大證券國際集團的公司另有書面同意，否則任何前述資料的任何變更，只會於光大證券國際集團的公司確實收妥有關書面通知當日起計五日後才會生效。

- (5) The Applicant hereby irrevocably and by way of security appoints the company(ies) of EBSI Group as his/her lawful attorney to execute all documents and do all things which the company(ies) of EBSI Group in good faith considers necessary and which the Applicant ought reasonably to do in furtherance or as a consequence of the terms of this Account Application or to perfect any security given by the Applicant.

申請人現不可撤銷地並以保證形式委任光大證券國際集團的公司擔任其合法受託代表人簽訂所有文件，以及作出所有事情，而該等文件及事情乃光大證券國際集團的公司真誠地認為申請人應當合理簽訂或作出以貫徹本開戶申請表之條款或因此等條款而產生或以完善任何由申請人提供的抵押的文件或事情。

- (6) The Applicant should familiarize himself / herself with and, where applicable, take advice on the laws and regulations applicable to the subscription, holding and realization of the investments in respect of the Account in the place of his / her domicile / residence and, if applicable, all other relevant jurisdictions. The Applicant hereby warrants and represents and undertakes to ensure (and it is his / her sole responsibility to ensure) that under the laws of the place of his / her domicile / residence and, if applicable, all other relevant jurisdictions, he / she is lawfully entitled or permitted to open and maintain the Account with the company(ies) of EBSI Group subject to the terms of the Client Agreement; to enter into such transactions, and to hold such assets, as contemplated under the Client Agreement and to comply with the terms of the Client Agreement and such warranties, representations and undertakings to the company(ies) of EBSI Group are deemed to be repeated on each day up to and including the termination of the Client Agreement of the relevant company(ies) of EBSI Group. Termination of the Client Agreement of the relevant company(ies) of EBSI Group shall not affect any action by the relevant company(ies) of EBSI Group or any of its agents or any third party permitted under such Client Agreement initiated prior to the date of termination or any indemnity or warranty given by the Applicant under such Client Agreement. The Applicant undertakes to pay all taxes, charges and other amounts, directly and indirectly, arising out of or in connection with the opening and/or maintaining of the Account and/or the entering into the aforesaid transactions and/or the holding of the aforesaid assets and/or the compliance with the terms of the Client Agreement. It is the sole responsibility of the Applicant to deal with any matter related to this Clause (6) and the company(ies) of EBSI Group is under no obligation to take any action in relation to any such matter. Should the Applicant require any reasonable assistance from the company(ies) of EBSI Group regarding any such matter, the company(ies) of EBSI Group may, in its absolute discretion, render such assistance and all the costs, fees, charges, expenses and other amounts thereby incurred (including any service charges of the company(ies) of EBSI Group for or in connection with rendering such assistance) shall be solely borne by the Applicant who undertakes to pay the same. Notwithstanding anything in this Clause (6) and notwithstanding the company(ies) of EBSI Group may have rendered any assistance to the Applicant before (whether regarding the same matter or not), the company(ies) of EBSI Group may, at any time, without liability to the Applicant or any third party and without assigning any reason therefor, refuse to render any assistance or further assistance (as the case may be) to the Applicant.

申請人應熟悉在其居籍／居留地及（若適用）及／或光大證券國際集團的公司不時發出的其他相關條款及條件，所有其他相關的司法管轄區適用於關於帳戶之認購、持有及變現投資的法律及規則並當適用時尋求相關意見。申請人現保證、聲明及承諾確保（及此乃其獨自的責任去確保）根據其居籍／居留地及（若適用）所有其他相關司法管轄區的法律，其乃合法地有權或被許可在受客戶協議條款約束下於光大證券國際集團的公司開立並維持帳戶；及進行及持有客戶協議所擬之交易及資產；以及遵守客戶協議的條款。再者，該等向光大證券國際集團的公司發出的保證、聲明及承諾將被視為每日作出，直至及包括相關光大證券國際集團的公司的客戶協議終止為止。相關光大證券國際集團的公司的客戶協議之終止，將不會影響在終止日前相關光大證券國際集團的公司或其任何代理人或任何第三方於該客戶協議容許下已展開之行動，亦不影響申請人在該客戶協議下給予之任何彌償或保證。申請人承諾支付直接或間接因或關於開立及／或維持帳戶及／或進行前述的交易及／或持有前述的資產及／或遵守客戶協議的條款而產生的所有稅項、費用及其他款項。此乃申請人獨自的責任處理關於本第(6)條的任何事宜，光大證券國際集團的公司並沒有責任就任何該等事宜採取任何行動。若申請人就任何該等事宜需要光大證券國際集團的公司的任何合理協助，光大證券國際集團的公司可能以其絕對酌情權提供該協助，並且因此而招致的所有開支、費用、收費、支出及其他款項（包括光大證券國際集團的公司為或關於提供該協助的任何服務費）將由申請人獨自承擔而其亦承諾支付。



儘管本第(6)條有任何規定及儘管光大證券國際集團的公司可能以前已向申請人提供任何協助（不論是否關於同一事宜），光大證券國際集團的公司可隨時拒絕向申請人提供任何協助或進一步的協助（視情況而定）但無須向申請人或任何第三方承責亦無須給予任何理由。

- (7) The Applicant confirms that unless otherwise indicated in this Account Application, he/she is acting as principal in relation to the Account.

申請人確認就帳戶而言，除非於本開戶申請表另有所指示，其乃以主事人的身份行事。

- (8) The Applicant confirms that he/she has read, is aware of and understands the terms set out in the Form of Options Information Statement, Disclaimer in Relation to Trading of Stock Index Futures Contracts, Disclaimer in Relation to Trading of Stock Index Option Contracts and HK Exchange Disclaimer in the Client Agreement and/or the Documents. (This Clause (8) is applicable to the Applicant if any Account, once approved to be opened, is governed by the relevant Client Agreement comprising the foregoing documents.)

申請人確認已閱讀，知悉並完全明白客戶協議及／或文件內之期權資料說明表、有關買賣股票指數期貨的免責聲明、有關買賣股票指數期權的免責聲明及香港交易所免責聲明（本第(8)條適用於申請人任何（一旦獲核准開立）由包含前述文件之相關客戶協議所規限的帳戶）。

- (9) (i) The use of online trading services, specified at page 1 of this Account Application, shall be in accordance with EBSISHK's, EBSDFHK's, CESCHK's and CESFXHK's Client Agreement respectively and such other applicable terms as may be designated from time to time by EBSISHK, EBSDFHK, CESCHK and/or CESFXHK. Depending on the choice of the Applicant indicated by ticking the appropriate box(es) for any one or more or all of the aforesaid online trading services ("Chosen Electronic Services"), the Applicant agrees to use the Chosen Electronic Services on such website(s) as designated by the company(ies) of EBSI Group from time to time and in accordance with the applicable document(s) and terms above mentioned in this Clause (9)(i) ("Applicable Documents" for the purpose of this Clause (9) only). The Applicant confirms that the relevant terms and conditions set out in the Applicable Documents, as well as the related risks set out therein and in the Risk Disclosure Statements ("Risks") have been explained to him/her. The Applicant confirms its understanding and acceptance of the Risks. The Applicant agrees to use the Chosen Electronic Services in accordance with the Applicable Documents. (This Clause (9)(i) is only applicable to the Applicant who has ticked the appropriate box(es) for the Chosen Electronic Services at page 1 of this Account Application).

本開戶申請表第1頁所指明的網上交易服務將各自按光證投資服務香港、光證數金香港、光證期貨香港及光證外匯香港的客戶協議及附件以及光證投資服務香港、光證數金香港、光證期貨香港及／光證外匯香港可能不時指定之其他適用條款使用。視乎申請人於本開戶申請表第1頁適當方格中加上「✓」號作為顯示其所選擇上述之任何一項、多項或所有電子服務（「已選擇電子服務」），申請人同意，根據本第(9)條上述適用的一份或多份文件及條款（「適用文件」）僅作本第(9)條之用途）並於光大證券國際集團的公司不時指定的一個或多個網站使用已選擇電子服務。申請人確認，其已獲解釋於適用文件內所列載的相關條款及條件及於適用文件及風險披露聲明內列出之相關風險（「風險」）。申請人確認其已明白和接受風險。申請人同意根據適用文件使用已選擇電子服務。（本第(9)(i)條只適用於本開戶申請表第1頁於已選擇電子服務之適當方格中加上「✓」號之申請人。）

- (ii) The Applicant consents to receive all relevant contract notes, daily and monthly statements of account, confirmations and the like (collectively, "Advice" for the purpose of this Clause (9) only) to be issued by the relevant company(ies) of EBSI Group by means of email to the email address(es) provided in Section A herein above and/or display on the trading platform where of the Applicant can access, download and/or print out if this Account Application is approved by the relevant company(ies) of EBSI Group. The Applicant hereby acknowledges that the Internet or other electronic medium is an inherently unreliable medium of communication and that such unreliability is beyond EBSI Group's control or anticipation. The Applicant agrees that EBSI Group shall not be responsible for any loss, damage, costs, expenses, claims or liability of whatsoever nature, directly or indirectly, arising out of or in connection with such unreliability or the public nature of the Internet or other electronic medium or any other cause beyond EBSI Group's control or anticipation. (This Clause (9)(ii) is only applicable to the Applicant who has selected "Email" as the delivery method in Section A(13). However, if the Applicant is required to complete and sign an Application for Electronic Services for the purpose of receiving Advice (defined above), the terms and conditions in such Application for Electronic Services shall prevail to the extent of inconsistency.

若本開戶申請表獲相關光大證券國際集團的公司所核准，申請人同意於以上本開戶申請表A項所指定之電子郵件地址收取及／或顯示於申請人可以進入的交易平台，並可下載及／或列印由相關光大證券國際集團的公司以電郵方式發出之所有相關之成交單據、帳戶日結單及月結單、確認函及同類文件（僅就本第(9)條之用途，統稱「通知書」）。申請人在此確認互聯網或其他電子媒介本質上乃不可靠的通訊媒介，而該不可靠性乃非光大證券國際集團所能控制或預期的。申請人同意，對直接或間接因或相關於該不可靠性，互聯網或其他電子媒介之公眾性質或任何其他非光大證券國際集團可控制或預期之原因而產生之任何損失、損害、開支、費用、索求或責任（不論屬任何性質），光大證券國際集團一概並不承責。（本第(9)(ii)條只適用於在A(13)項已選擇「電郵」為送遞方法之申請人。但若申請人須為收取通知書（釋義按上）而填寫並簽署電子服務申請書，則該電子服務申請書所載之條款及條件在其不一致之處將替代本第(9)(ii)條而適用。）

- (10) The Applicant confirms the receipt of, and understands and agrees to the terms of EBSI Group's policies and practices relating to the use of personal data either attached to this Account Application as the Statement of Practice in regard to Personal Data (Privacy) Ordinance or attached to/provided in the Client Agreement and/or the OTC Swap T&Cs (Individuals) (as the case may be) and/or CESFXHK Global Payments Spot Contract Terms and Conditions (as the case may be).

申請人確認收到及明白並同意光大證券國際集團有關個人資料使用之政策及慣例之條款，其等於附隨本開戶申請表的關於個人資料（私隱）條例之操作聲明中列明或附隨／載於客戶協議及／或場外掉期條款及細則（個人）（視情況而定）及／或光證外匯香港「匯款易」現貨合約條款及條件（視情況而定）。

- (11) By consenting to the use of his/her personal data for direct marketing purposes by company(ies) of EBSI Group in Section H, the Applicant expressly consents that the company(ies) of EBSI Group may at any time and from time to time send to him/her by telephone, email or other electronic means any messages relating to services or products which, in the opinion of the company(ies) of EBSI Group, the Applicant may be interested. The Applicant may at any time request not to receive such messages from the company(ies) of EBSI Group by sending an "unsubscribe" request to the unsubscribe facility specified in such messages or by written notice to the company(ies) of EBSI Group at the address stated at the front page of this Account Application or such other address as the company(ies) of EBSI Group may subsequently notify from time to time.

若申請人於H項同意光大證券國際集團的公司使用其個人資料以作直接推廣用途，申請人則明確同意光大證券國際集團的公司可隨時及不時透過電話、電子郵件或其他電子途徑傳送予申請人光大證券國際集團的公司認為其可能有興趣之服務或產品訊息。申請人可隨時要求不從光大證券國際集團的公司處接收該等訊息並可將取消接收要求送致該等訊息內所指定之取消接收選項，或以書面通知寄至本開戶申請表首頁所述之地址或光大證券國際集團的公司日後不時所公佈之其他地址，而要求不從光大證券國際集團的公司處接收該等訊息。

- (12) The Applicant hereby agrees to indemnify, on demand, the company(ies) of EBSI Group (on a full indemnity basis) for all losses, costs and expenses (including legal costs) and liabilities of any nature whatsoever suffered or incurred by the company(ies) of EBSI Group in reliance on any information mentioned in Clause (4) of this Section G or in consequence of any failure to provide any such information in a timely manner or at all by the Applicant or, directly or indirectly, arising from or in connection with the company(ies) of EBSI Group's act or inaction in relation to this Account Application (except for any willful misconduct on its part), or any act or omission of the Applicant (whether or not constituting a breach of any provision contained in this Account Application).

申請人現承諾應要求彌償光大證券國際集團的公司（按全面彌償基準）因依賴本G項第(4)條所述之任何資料或因申請人沒有及時或沒有向光大證券國際集團的公司提供任何該等資料或直接或間接因或關於光大證券國際集團的公司就本開戶申請表之任何行動或不行動（其故意不當行為除外）或申請人之任何行動或遺漏（不論是否構成一項違反本開戶申請表內所載之任何條款）而令光大證券國際集團的公司蒙受或承擔的所有損失、費用及支出（包括法律費用）及責任（不論屬任何性質亦然）。

- (13) Notwithstanding anything to the contrary which may be contained in this Account Application or any other document, this Account Application is subject to the final approval of the company(ies) of EBSI Group (whether with or without further conditions) and the company(ies) of EBSI Group shall not be obliged to give any reason for not approving the same.

儘管本開戶申請表或任何其他文件可能另有訂明，本開戶申請表之最終核准將會由光大證券國際集團的公司決定（不論有否其他條件）。同時，光大證券國際集團的公司有權在無須提供理由之情況下拒絕該申請。

- (14) In this Account Application, the following terms have the following meanings:

於本開戶申請表，以下詞語具以下定義：

**"Application for Electronic Services"** means an application for internet, mobile devices, or other form of electronic services, the contents and form(s) of which may be specified by EBSI Group from time to time.

「電子服務申請書」指就互聯網、流動設備或其他形式的電子服務之申請書，其內容及格式由光大證券國際集團不時指定。

**"relevant company(ies) of EBSI Group"** means the company(ies) of EBSI Group which agree(s) to open and maintain such account(s) and, where applicable, provide such services, with or without further conditions, as notified to the Applicant by such company(ies) in writing.

「相關光大證券國際集團的公司」指一間或多間光大證券國際集團的公司，而其／其等同意並以書面通知申請人開立及維持該通知所指的一個或多個帳戶及（若適用）（不論是否附帶其他條件）該通知所指的服務。

**"subsidiary"** bears the same meaning given to it under the Companies Ordinance (Cap.622 of the Laws of Hong Kong) (as amended from time to time).

「附屬公司」與《公司條例》（香港法例第622章）（及其不時修訂本）下所指明的附屬公司具相同定義。

For the purposes of this Account Application, two companies shall be taken to be associated companies if one is a subsidiary of the other, or both are subsidiaries of a third company, and "associated company" shall be construed accordingly.

就本開戶申請表而言，如兩間公司的其中一間是另一間的附屬公司，或該兩間公司俱是第三間公司的附屬公司，則該兩間公司將視為相聯公司，而「相聯公司」一詞亦據此解釋。

- (15) In this Account Application, unless the context otherwise specifies, terms in the singular shall include the plural and vice versa; all references to any particular gender shall include all genders; and references to Section(s) shall be to the Section(s) of this Account Application.

在本開戶申請表，單數詞語包括眾數詞語，反之亦然，提到一種性別之處，包括所有性別；及項目／項乃指本開戶申請表之項目／項。

## SECTION H ADDITIONAL TERMS AND CONDITIONS 額外條款及條件

### Standing Authority within the meaning of section 4(1) of the Securities and Futures (Client Securities) Rules (Cap. 571H, Laws of Hong Kong) ("Rules")

香港法例第 571H 章《證券及期貨（客戶證券）規則》第 4(1) 條（下稱「規則」）所指的常設授權

In consideration of your agreement to provide or continue to provide to me services in accordance with the applicable terms and conditions, I, the Applicant, hereby agree to the following terms and conditions. If the Applicant consists of two or more persons, the liability(ies) of each such person shall be joint and several. For the avoidance of doubt, if I have margin trading accounts with two or more of the licensed corporations of EBSI Group, notwithstanding anything to the contrary contained in this authority, this authority is given to all such companies and all such companies are hereinafter jointly and severally referred to as "EBSI".

本人即申請人，謹此同意以下條款及條件，作為貴公司同意按適用的條款及條件向本人提供或繼續提供服務之代價。如果申請人共有兩位或以上人士每位該等人士之責任須為共同及各別的責任。為免存疑，如果本人於二間或多間光大證券國際集團的持牌法團擁有孖展證券帳戶，儘管本常設授權另有規定，本常設授權乃給予所有該等公司並且該等公司共同及各別地下稱「光大證券國際」。

This authority covers securities which are now, or will be hereafter, received or held on my behalf or in which I have a legal or equitable interest ("Securities") and securities collateral which are now, or will be hereafter, deposited or otherwise provided by me or on my behalf ("Securities Collateral").

本常設授權涵蓋現行或其後代本人收取或持有或本人擁有法律上或衡平法上權益的證券（下稱「證券」）及現行或其後本人或代本人存入或以其它形式提供的證券抵押品（下稱「證券抵押品」）。

Unless otherwise defined, all the terms used in this authority shall have the same meanings as in the Securities and Futures Ordinance (Cap. 571 of the Laws of Hong Kong) and the Rules as amended from time to time.

除非另有定義，本常設授權中使用的所有詞語的涵義與不時修訂之《證券及期貨條例》（香港法例第 571 章）及規則中該等詞語的涵義相同。

☐ I, the Applicant, hereby authorize EBSI that it may:

本人即申請人謹此授權光大證券國際可：

1. apply any of my Securities pursuant to a securities borrowing and lending agreement;

根據一份證券借貸協議運用本人之任何證券；

2. deposit any of my Securities Collateral with Hong Kong Securities Clearing Company Limited ("HKSCC") or an authorized financial institution, as collateral for financial accommodation provided to EBSI and/or for the discharge and satisfaction of EBSI's settlement obligations and liabilities and I understand and agree that HKSCC or the authorized financial institution will have a first fixed charge over my Securities Collateral to the extent of EBSI's obligations and liabilities;

將本人之任何證券抵押品存入香港中央結算有限公司（下稱「香港結算」）或一認可財務機構，作為向光大證券國際提供財務通融及／或履行及清償光大證券國際之交收責任及法律責任的抵押品並且本人明白及同意香港結算或該認可財務機構對本人之證券抵押品將有第一固定押記但謹以光大證券國際之責任及法律責任為限；

3. deposit any of my 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 EBSI's settlement obligations and liabilities;

將本人之任何證券抵押品存入任何其它認可結算所，或另一獲發牌或註冊以進行證券交易的中介人，作為履行及清償光大證券國際之交收責任及法律責任的抵押品；



4. deposit or transfer my Securities and/or Securities Collateral with or to or interchangeably between any custodian(s) and/or clearing house(s) and/or any margin securities trading accounts of EBSISHK, whether in Hong Kong or elsewhere, upon such terms as may be agreed by EBSI but subject to applicable Regulatory Rules;  
將本人之證券及 / 或證券抵押品存入在香港或其它地方的任何一個或多個保管人及 / 或結算所及 / 或光證投資服務香港的任何一個孖展證券交易帳戶或於它們間互相轉移，按光大證券國際同意之條款但受制於適用的監管規則；
5. upon such terms as may be agreed by EBSI but subject to applicable Regulatory Rules, register or re-register any of my Securities or Securities Collateral in the name of EBSI or any nominee appointed or agreed by EBSI (whether in Hong Kong or elsewhere) or cancel any such registration; and  
按光大證券國際同意之條款但受制於適用的監管規則，以光大證券國際或光大證券國際指定或同意的任何代名人（不論在香港或其它地方）之名註冊或重新註冊本人之證券或證券抵押品或註銷任何該等註冊；及
6. apply, deposit or otherwise deal with any of my Securities Collateral in accordance with the above items 1 to 5 if EBSI provides financial accommodation to me in the course of dealing in securities and also provides financial accommodation to me in the course of any other regulated activity for which EBSI is licensed or registered.  
按照以上第 1 至 5 項運用、存入或以其它形式處理本人等之任何證券抵押品，如果光大證券國際在證券交易過程中為本人提供財務通融及在光大證券國際獲發牌或註冊以進行的任何其他受規管活動過程中亦為本人提供財務通融；

EBSI may, at any time and from time to time, do any or more or all of the things set out above in EBSI's sole discretion and without giving me prior notice or obtaining my prior confirmation and/or direction.

光大證券國際可隨時及不時行使其獨有酌情權及不必再通知本人或再取得本人確認及 / 或指示的情況下作出上述任何或多項或所有事情。

This authority shall not affect EBSI's right to dispose or initiate a disposal of my Securities or Securities Collateral in settlement of any liability owed by or on my behalf to EBSI or any member of the Group or a third person. Further, this authority is given in addition to and without prejudice to any other authority or right which EBSI or any member of the Group may, now or hereafter, have in relation to my Securities and/or Securities Collateral.

本常設授權不會影響光大證券國際處置或促使處置本人之證券或證券抵押品之權利以清償本人或代本人對光大證券國際或任何集團成員或某一第三方之任何責任。再者，本授權乃在附加於及在不損害光大證券國際或任何集團成員就本人之證券及 / 或證券抵押品而有的現行或其後的任何其它授權或權利的情況下發出。

I hereby agree to indemnify, and to keep indemnified, EBSI from and against all and any losses, damages, interests, costs, expenses, actions, demands, claims and/or proceedings of whatsoever nature which EBSI may incur, suffer and/or sustain as a consequence of any act and/or transaction done or undertaken pursuant to this authority.

本人謹此承諾彌償光大證券國際因按本常設授權作出或承諾的任何行動及 / 或交易而導致光大證券國際可能招致、承擔及 / 或面臨的一切及任何損失、損害賠償、利息、費用、支出、訴訟、要求、索償及 / 或法律程序，不論屬任何性質的，並承諾確保光大證券國際免受損害。

I understand and agree that a third party may have rights to my Securities and/or Securities Collateral, which EBSI must satisfy before my Securities and/or Securities Collateral can be returned to me.

本人明白及同意第三者可能對本人之證券及 / 或證券抵押品擁有權益，乃光大證券國際必須了結方可讓本人之證券及 / 或證券抵押品歸還本人。

This authority is valid for the period between the account opening date and the first 31st day of October ("Anniversary Day") falling after the account opening day and thereafter for a period of 12 months from the Anniversary Day in each calendar year (or such other period as specified by EBSI at any time but in any case not more than 12 months), subject to my renewal or deemed renewal under the Rules as amended from time to time. I understand that this authority shall be deemed to be renewed upon the same terms and conditions contained herein and on a continuing basis without my written consent if EBSI issues me a written reminder at least 14 days prior to the Anniversary Day of this authority, and I do not object in writing to such deemed renewal before such Anniversary Day. In case that this authority is first given by me during a period between the issuance of the written reminder for a particular calendar year and the Anniversary Day in that calendar year, I hereby expressly agree that no additional written reminder shall be given to me for that calendar year and this authority shall be renewed by virtue of my express agreement given herein on that Anniversary Day.

本常設授權有效期為開戶日起計及至開戶後第一個10月的第31日（「週年到期日」），之後每年由週年到期日起計加12個月（或光大證券國際於任何時間所規定的其它限期但於任何情況均不多於12個月），受不時修訂之規則下本人之續期或當作續期所限。本人明白如果光大證券國際於本授權週年到期日期前至少14日向本人發出書面提醒，並且本人於該週年到期日前不以書面反對本授權之當作續期，即本授權將被當作以與本文載有的相同條款及條件於持續情況並毋須本人之書面同意下續期。倘若本人首次給予此授權時為該年度發出書面提醒與該年度的週年到期日之間，本人謹此明確地同意本人將不獲另發該年度的書面提醒而此授權將憑藉本人於此所給予明確的同意下於該週年到期日時續期。

This authority may be revoked by giving EBSI written notice addressed to the Operations Department at EBSI's address specified above or such other address as may be subsequently notified to me by EBSI. My notice of revocation shall take effect upon the expiry of two weeks from the date of EBSI's actual receipt of such notice and shall not affect any act or transaction done or undertaken by EBSI or any member of the Group pursuant to or by virtue of this authority prior to such revocation taking effect.

本常設授權可被撤銷乃透過向光大證券國際發出書面通知註明由營運部收件並送往光大證券國際之上述地址或嗣後光大證券國際通知本人的其它地址。本人之撤銷通知於光大證券國際實際收訖該通知當日起計屆滿兩星期方才生效並且不會影響光大證券國際或任何集團成員於該撤銷生效前根據或因本授權作出或承諾的任何行動或交易。

In this authority, unless the context requires otherwise, the following terms and expressions shall have the following meanings:

本常設授權中，除非文意另有所指，以下詞語將有下列涵義：

"Exchange" means The Stock Exchange of Hong Kong Limited and any other exchange, market or association of dealers in any part of the world on which securities are bought and sold;

「交易所」指香港聯合交易所有限公司及在世界各地進行證券買賣的任何其它交易所、市場或交易商協會；

"Group" means China Everbright Securities International Company Limited and China Everbright Securities International Company Limited's subsidiaries and associated companies, and "member of the Group" shall be construed accordingly.

「集團」指中國光大證券國際有限公司及中國光大證券國際有限公司的附屬公司及相聯公司，並且「集團成員」應作相應解釋。

"Regulators" means the SFC, the relevant Exchange, the relevant clearing house and any other regulator whether in Hong Kong or elsewhere;

「監管機構」指證監會、有關交易所、有關結算公司及在香港或其它地方的任何其它監管機構；

"Regulatory Rules" means the rules of the Regulators or other laws, rules, codes, guidelines, circulars and regulatory directions issued by the Regulators from time to time; and

「監管規則」指監管機構之規則或由監管機構不時發佈的其它法例、規則、守則、指引、通知及規管指示；及

“SFC” means the Securities and Futures Commission of Hong Kong.

「證監會」指香港證券及期貨事務監察委員會。

“subsidiary” bears the same meaning given to it under the Companies Ordinance (Cap.622, Laws of Hong Kong) (as amended from time to time).

「附屬公司」的涵義與《公司條例》（香港法例第 622 章）（及其不時修訂本）中該詞的涵義相同。

For the purposes of this authority, two companies shall be taken to be associated companies if one is a subsidiary of the other, or both are subsidiaries of a third company, and “associated company” shall be construed accordingly.

就本授權而言，如兩間公司的其中一間是另一間的附屬公司，或該兩間公司俱是第三間公司的附屬公司，則該兩間公司將視為相聯公司，而「相聯公司」一詞亦據此解釋。

In this authority, unless the context requires otherwise, terms in the singular shall include the plural and vice versa.

本常設授權中，除非文意另有所指，單數形式的詞語應包含眾數形式，反之亦然。

### **Standing Authority within the meaning of section 8(1) of the Securities and Futures (Client Money) Rules (Cap. 571I, Laws of Hong Kong) (“Rules”)**

香港法例第 571I 章《證券及期貨（客戶款項）規則》第 8(1) 條（下稱「規則」）所指的常設授權

In consideration of your agreement to provide or continue to provide to me services in accordance with the applicable terms and conditions, I, the undersigned Applicant, hereby agree to the following terms and conditions. If the Applicant consists of two or more persons, the liability(ies) of each such person shall be joint and several. For the avoidance of doubt, if I have accounts with two or more of the licensed corporations of EBSI Group, notwithstanding anything to the contrary contained in this authority, this authority is given to all such companies and all such companies are hereinafter jointly and severally referred to as “EBSI”.

本人，即申請人，謹此同意以下條款及條件，作為貴公司同意按適用的條款及條件向本人提供或繼續提供服務之代價。如果申請人共有兩位或以上人士，每位該等人士之責任將為共同及各別的責任。為免存疑，如果本人於二間或多間光大證券國際集團的持牌法團擁有帳戶，儘管本常設授權另有規定，本授權乃給予所有該等公司並且該等公司共同及各別地下稱「光大證券國際」。

This authority covers money, now or hereafter, held or received on my behalf in Hong Kong (including any interest derived from the holding of the money which does not belong to you) in one or more segregated account(s) (“Monies”).

本常設授權信涵蓋現在或以後在香港的一個或多個獨立帳戶中代本人持有或收取的款項（包括得自持有不屬於貴公司的款項的任何利息）（下稱「款項」）。

Unless otherwise defined, all the terms used in this authority shall have the same meanings as in the Securities and Futures Ordinance (Cap. 571 of the Laws of Hong Kong) and the Rules as amended from time to time. Subject to compliance with applicable laws and regulatory requirements, segregated account(s) include any account(s) designated as client account(s) or trust account(s) established and maintained in or outside Hong Kong and, if applicable, any account(s) opened and maintained (in or outside Hong Kong) in a name referable to me.

除非另有定義，本常設授權中使用的詞語意義與不時修訂之《證券及期貨條例》（香港法例第 571 章）及規則所述的意義相同。在遵從適用的法律及監管要求的情況下，獨立帳戶包括在香港或以外地方設立及維持並指定為客戶帳戶或信託帳戶的任何帳戶及，如適用，以本人名義（在香港或以外地方）開立及維持的任何帳戶。

☐ I hereby authorize EBSI that it may:

本人謹此授權光大證券國際以：

1. combine or consolidate any or all segregated accounts of any nature whatsoever and either individually or jointly with others, maintained by EBSI or any member of the Group and EBSI may:

合併或綜合任何或所有屬任何性質、各別或與其他共同的、由光大證券國際或任何集團成員維持的獨立帳戶並且光大證券國際可：

- (i) transfer any sum of Monies to and/or between such segregated account(s) to satisfy; or  
轉移任何數額的款項來往該（等）獨立帳戶以清償；或
- (ii) set off or transfer any sum of Monies in or towards satisfaction of; or  
抵銷或轉移任何數額的款項以清償；或
- (iii) transfer any sum of Monies to the client account(s) of any clearing firm(s) or financial institution(s) in Hong Kong or overseas to satisfy; or  
轉帳任何數額之款項至任何香港或海外清算行或金融機構的客戶帳戶，以履行；或
- (iv) exchange my/our money into any other currency(ies) to satisfy,  
將本人 / 吾等的款項兌換至任何貨幣以清償，

my obligations or liabilities to EBSI and/or any member of the Group, whether such obligations and liabilities are actual or contingent, primary or collateral, secured or unsecured, or joint or several;

本人對光大證券國際及 / 或任何集團成員之任何責任或負債，不論該等責任及負債乃實際或或有、主要或附屬、有擔保或無擔保、或聯合或各別的；

2. deposit any sum of Monies into, or transfer any sum of Monies interchangeably between, the segregated account(s) maintained at any time by EBSI or any member of the Group;

將任何數額的款項存入由光大證券國際或任何集團成員於任何時間所維持的一個或多個獨立帳戶，或於獨立帳戶間互相轉移任何數額的款項；

3. where EBSI lends securities to me pursuant to a securities borrowing and lending agreement, deposit any of my cash collateral provided to EBSI pursuant to such securities borrowing and lending agreement with another intermediary licensed or registered for dealing in securities as collateral for the discharge and satisfaction of EBSI's settlement obligations and liabilities in connection with any back-to-back securities borrowing and lending agreement between EBSI and such intermediary; and

在光大證券國際根據證券借貸協議向本人作出證券借貸的情況下，將本人根據該證券借貸協議向光大證券國際提供之任何現金抵押品存入另一獲發牌或註冊以進行證券交易的中介人作為履行及清償就光大證券國際與該中介人之間任何背對背式證券借貸協議中光大證券國際之交收責任及法律責任的抵押品；及

4. debit any or all segregated accounts maintained at any time by EBSI or any member of the Group with such amount(s) of Monies as may be required for settling my liability (ies) under or pursuant to any agreement(s) and/or document(s) between me on the one part and EBSI and/or any member of the Group on the other part.

在任何或所有由光大證券國際或任何集團成員於任何時間所維持的獨立帳戶內扣除所須數額的款項以清償根據以本人為一方並光大證券國際及 / 或任何集團成員為另一方的任何協議及 / 或文件中本人之責任。

EBSI may, at any time and from time to time, do any or more or all of the things set out above in EBSI's sole discretion and without giving me further notice or obtaining my/our further confirmation and/or direction.

光大證券國際可隨時及不時行使其獨有酌情權及不再通知本人或再取得本人之確認及 / 或指示的情況下作出上述任何或多項或所有事情。

This authority is given in addition to and without prejudice to any other authority or right which EBSI or any member of the Group may, now or hereafter, have in relation to the Monies in the segregated account(s) (or any amount thereof).

本常設授權在乃附加於及在不損害光大證券國際或任何集團成員就一個或多個獨立帳戶內的款項 (或任何其部分款項) 而有的現行或其後的任何其他授權或權利的情況下發出。

I hereby agree to indemnify, and to keep indemnified, EBSI from and against all and any losses, damages, interests, costs, expenses, actions, demands, claims and/or proceedings of whatsoever nature which EBSI may incur, suffer and/or sustain as a consequence of any act, transfer and/or transaction done or undertaken pursuant to this authority.

本人謹此承諾彌償光大證券國際因按本授權作出或承諾的任何行動、轉移及 / 或交易而導致光大證券國際可能招致、承擔及 / 或面臨的一切及任何損失、損害賠償、利息、費用、支出、訴訟、要求、索償及 / 或法律程序，不論屬任何性質的，並承諾確保光大證券國際免受損害。

This authority is valid for the period between the account opening date and the first 31st day of October ("Anniversary Day") falling after the account opening day and thereafter for a period of 12 months from the Anniversary Day in each calendar year (or such other period as specified by EBSI at any time but in any case not more than 12 months), subject to my renewal or deemed renewal under the Rules as amended from time to time. I understand that this authority shall be deemed to be renewed upon the same terms and conditions contained herein and on a continuing basis without my written consent if EBSI issues me a written reminder at least 14 days prior to the Anniversary Day of this authority, and I do not object in writing to such deemed renewal before such Anniversary Day. In case that this authority is first given by me during a period between the issuance of the written reminder for a particular calendar year and the Anniversary Day in that calendar year, I hereby expressly agree that no additional written reminder shall be given to me for that calendar year and this authority shall be renewed by virtue of my express agreement given herein on that Anniversary Day.

本授權有效期為開戶日起計及至開戶後第一個10月的第31日 (「週年到期日」)，之後每年由週年到期日起計加12個月 (或光大證券國際於任何時間所規定的其它限期但於任何情況均不多於12個月)，受不時修訂之規則下本人之續期或當作續期所限。本人明白如果光大證券國際於本常設授權週年到期日期前至少14日向本人發出書面提醒，並且本人於該週年到期日前不以書面反對本常設授權之當作續期，即本常設授權將被當作以與本文載有的相同條款及條件於持續情況並毋須本人之書面同意下續期。倘若本人首次給予此常設授權時為該年度發出書面提醒與該年度的週年到期日之間，本人謹此明確地同意本人將不獲另發該年度的書面提醒而此授權將憑藉本人於此所給予明確的同意於該週年到期日時續期。

This authority may be revoked by giving EBSI written notice addressed to the Operations Department at EBSI's address specified above or such other address as may be subsequently notified to me by EBSI. My notice of revocation shall take effect upon the expiry of at least two weeks from the date of EBSI's actual receipt of such notice and shall not affect any act, transfer or transaction done or undertaken by EBSI or any member of the Group pursuant to or by virtue of this authority prior to such revocation taking effect.

本授權可被撤銷乃透過向光大證券國際發出書面通知註明由營運部收件並送往光大證券國際之上述地址或嗣後光大證券國際通知本人的其它地址。本人之撤銷通知於光大證券國際實際收訖該通知當日起計屆滿兩星期方才生效並且不會影響光大證券國際或任何集團成員於該撤銷生效前根據或因本常設授權信而作出或承諾的任何行動、轉移或交易。

In this authority, unless the context requires otherwise,

本常設授權信中，除非文意另有所指，

"Group" means China Everbright Securities International Company Limited and China Everbright Securities International Company Limited's subsidiaries and associated companies and "member of the Group" shall be construed accordingly.

「集團」指中國光大證券國際有限公司及中國光大證券國際有限公司的附屬公司及相聯公司，並且「集團成員」應作相應解釋。

"subsidiary" bears the same meaning given to it under the Companies Ordinance (Cap.622, Laws of Hong Kong) (as amended from time to time).

「附屬公司」的涵義與《公司條例》(香港法例第 622 章) (及其不時修訂本) 中該詞的涵義相同。

For the purposes of this authority, two companies shall be taken to be associated companies if one is a subsidiary of the other, or both are subsidiaries of a third company, and "associated company" shall be construed accordingly.

就本常設授權而言，如兩間公司的其中一間是另一間的附屬公司，或該兩間公司俱是第三間公司的附屬公司，則該兩間公司將視為相聯公司，而「相聯公司」一詞亦據此解釋。

In this authority, unless the context requires otherwise, terms in the singular shall include the plural and vice versa.

本常設授權中，除非文意另有所指，單數形式的詞語應包含眾數形式，反之亦然。

Should there be any inconsistency or conflict between the Chinese and English versions of this authority, the English version shall prevail.

若本常設授權之中、英文本有任何不同或矛盾之處，當以英文本為準。

## DIRECT MARKETING CONSENT FORM

### 直接促銷同意書

China Everbright Securities International Company Limited, its subsidiaries and associated companies (together referred to as the "EBSI Group") would like to seek your (i.e., the Applicant's) consent to (i) use your personal data; and (ii) transfer your personal data to members within the EBSI Group, for direct marketing (such as special offers, preferential rates, product updates, market opportunities, gifts, coupons, seminars, events etc.) for which EBSI Group may receive gain. This direct marketing will relate to financial services and products, including investments, insurance, foreign exchange and lending ("Marketing Subjects"). Your personal data to be so used may include your name, contact details, age group, gender, financial profile and educational level ("Personal Data").

中國光大證券國際有限公司、其附屬公司及聯屬公司 (統稱為「光大證券國際集團」) 敬請閣下 (即申請人) 同意我們：(i) 使用閣下個人資料；及(ii) 將閣下個人資料轉移至光大證券國際集團旗下各成員公司，作直接促銷用途 (例如特別產品推介、優惠費率、產品最新資料、市場投資機會、禮品、贈券、研討會、活動等)，而光大證券國際集團可能就此獲取得益。該等直接促銷是關於金融服務及產品，包括投資、保險、外匯及借貸 (「促銷內容」)。就直接促銷用途所使用的閣下個人資料可能包括閣下姓名、聯絡資料、年齡組別、性別、財務狀況及教育水準 (「個人資料」)。

Without your consent, the EBSI Group may not use or transfer your Personal Data for direct marketing purpose. You may at any time withdraw your consent.

未經閣下同意，光大證券國際集團不可使用或轉移閣下個人資料作直接促銷用途。閣下可隨時撤回所作出的同意。

Please tick the box below to indicate your consent. 請閣下剔選下述方框以表示閣下的同意。

☐ I, the Applicant, consent to the EBSI Group using my Personal Data, or transferring my Personal Data within the EBSI Group, for direct marketing to me of the Marketing Subjects.

本人 (即申請人) 同意光大證券國際集團使用本人的個人資料，或於光大證券國際集團內轉移本人 / 吾等個人資料，用於向本人直接提供促銷內容。

Please refer to the EBSI Group's Privacy Policy at [www.ebshk.com](http://www.ebshk.com) or contact us for a copy.

請參閱光大證券國際集團在 [www.ebshk.com](http://www.ebshk.com) 登載的私隱政策，或聯絡我們索取有關政策。



## SHENZHEN/SHANGHAI B SHARES 中國深圳 / 上海 B 股股票

### ☐ **Shenzhen** B shares

I confirm to appoint EBSISHK or your nominee company as my agent to hold the **China Shenzhen** B shares in name of EBSISHK or your nominee company on my behalf.

中國深圳 B 股股票

本人確認委託光證投資服務香港或光證投資服務香港的代理人公司為本人之代理人，代為登記持有本人之中國深圳 B 股股票。

### **Shanghai** B shares

I confirm to appoint EBSISHK or your nominee company as my agent to hold the **China Shanghai** B shares in name of EBSISHK or your nominee company on my behalf.

中國上海 B 股股票

本人確認委託光證投資服務香港或光證投資服務香港的代理人公司為本人之代理人，代為登記持有本人之中國上海 B 股股票。

## SHANGHAI/SHENZHEN-HONG KONG STOCK CONNECT 滬港通 / 深港通

- ☐ I hereby confirm that I have read and fully understood the contents of the enclosed **Supplementary Terms and Conditions and Risk Disclosures of the Client Agreement – Shanghai-Hong Kong Stock Connect AND Shenzhen-Hong Kong Stock Connect** and other relevant documents and guidance enclosed with or accompanying this Account Application, and I fully accept these terms as binding upon me and as having been incorporated into the Client Agreement. I also understand and accept the features, limitation and risks of **Shanghai/Shenzhen-Hong Kong Stock Connect** and the services to be provided to me in connection with it. Please provide access to the Northbound trading services for my relevant Securities Trading Accounts.

本人據此確認，本人已經閱讀及完全理解夾附或隨附本開戶申請表的滬港與深港通一客戶協議之補充條款及條件和風險披露，以及其他相關文件和指引，並且本人完全接受該等條款對本人的約束力，猶如其已獲納入客戶協議。本人亦理解及接受滬港通/深港通的特點、限制和風險及光證投資服務香港就此向本人提供的服務。請為本人的有關證券交易賬戶提供北向交易服務。

### Personal Information Collection Statement concerning Northbound China Connect Orders 關於滬深港通北向交易的個人資料收集聲明

In consideration of your agreement to provide or continue to provide to me services in accordance with the applicable terms and conditions, I, the undersigned Applicant, hereby agree to the following terms and conditions. If the Applicant consists of two or more persons, the liability(ies) of each such person shall be joint and several. For the avoidance of doubt, if I have accounts with two or more of the licensed corporations of EBSI Group, notwithstanding anything to the contrary contained in this personal information collection statement, this personal information collection statement is given to all such companies and all such companies are hereinafter jointly and severally referred to as "we" or "EBSI".

本人，即申請人，謹此同意以下條款及條件，作為貴公司同意按適用的條款及條件向本人提供或繼續提供服務之代價。如果申請人共有兩位或以上人士，每位該等人士之責任將為共同及各別的責任。為免存疑，如果本人於二間或多間光大證券國際集團的持牌法團擁有帳戶，儘管本個人資料收集聲明另有規定，本個人資料收集聲明乃給予所有該等公司並且該等公司共同及各別地下稱「**我司**」或「**光大證券國際**」。

Processing of Personal Data as part of Shanghai-Hong Kong/Shenzhen-Hong Kong Stock Connect Northbound Trading  
處理個人資料作為滬深港通北向交易的一部分

You acknowledge and agree that in providing our Stock Connect Northbound Trading Service to you, EBSI will be required to:

您確認及同意，光大證券國際為您提供滬深港通北向交易服務時，我司需要：

(i) tag each of your orders submitted to the China Stock Connect System ("CSC") with a Broker-to-Client Assigned Number ("BCAN") that is unique to you or the BCAN that is assigned to your joint account with us, as appropriate; and  
在提交每一個您的交易指令予滬股通路由系統（「CSC」）時，在交易指令中附加上您唯一的券商客戶編碼（「**券商客戶編碼**」）或（如您的帳戶為聯名帳戶）您聯名帳戶獲分配的券商客戶編碼；及

(ii) provide to The Stock Exchange of Hong Kong Limited (the "Exchange" or "SEHK") your assigned BCAN and such identification information ("Client Identification Data" or "CID") relating to you as the Exchange may request from time to time under the Rules of the Exchange.  
向香港聯合交易所有限公司（「**交易所**」）提供您的券商客戶編碼及一切交易所按照其規則不時要求索取的關於您的身份識別資料（「**識別信息**」）。

Without limitation to any notification we have given you or consent we have obtained from you in respect of the processing of your personal data in connection with your account and our services to you, you acknowledge and agree that we may collect, store, use, disclose and transfer personal data relating to you as required as part of our Stock Connect Northbound Trading Service, including as follows:

不受限於我司就著因應您的帳戶或提供服務予您而處理您的個人資料而給予您的通知或向您取得的同意，您確認及同意，作為我司滬深港通北向交易服務的一部分，我司可以作出下述的收集、儲存、使用、披露及轉移您的個人資料的行為：

(a) to disclose and transfer your BCAN and CID to the Exchange and the relevant SEHK Subsidiaries from time to time, including by indicating your BCAN when inputting a China Connect Order into the CSC, which will be further routed to the relevant China Connect Market Operator on a real-time basis;

不時向交易所及相關交易所附屬公司披露及轉移您的券商客戶編碼及識別信息，包括在CSC輸入中華通證券交易指令時顯示您的券商客戶編碼，並即時轉傳至相關中華通證券交易營運者；

(b) to allow each of the Exchange and the relevant SEHK Subsidiaries to: (i) collect, use and store your BCAN, CID and any consolidated, validated and mapped BCANs and CID information provided by the relevant China Connect Clearing House (in the case of storage, by any of them or via Hong Kong Exchanges and Clearing Limited) for market surveillance and monitoring purposes and enforcement of the Rules of the Exchange; (ii) transfer such information to the relevant China Connect Market Operator (directly or through the relevant China Connect Clearing House) from time to time for the purposes set out in (c) and (d) below; and (iii) disclose such information to the relevant regulators and law enforcement agencies in Hong Kong so as to facilitate the performance of their statutory functions with respect to the Hong Kong financial markets;

容許交易所及各相關交易所附屬公司：(i)收集、使用及儲存您的券商客戶編碼及識別信息以及相關中華通結算所所提供（以儲存而言，它們通過香港交易及結算所有限公司進行）的合併、核實及配對的券商客戶編碼及識別信息，以作市場監察及執行交易所規則用途；(ii)基於下列(c)及(d)所述目的，不時（直接或通過相關中華通結算所）轉移該等資料予相關中華通證券交易營運者；及(iii)披露該等資料予香港相關監管機構及執法機關，以配合其履行關於香港金融市場的法定職能；

(c) to allow the relevant China Connect Clearing House to: (i) collect, use and store your BCAN and CID to facilitate the consolidation and validation of BCANs and CID and the mapping of BCANs and CID with its investor identification database, and provide such consolidated, validated and mapped BCANs and CID information to the relevant China Connect Market Operator, the Exchange and the relevant SEHK Subsidiary; (ii) use your BCAN and CID for the performance of its regulatory functions of securities account management; and (iii) disclose such information to the Mainland regulatory authorities and law enforcement agencies having jurisdiction over it so as to facilitate the performance of their regulatory, surveillance and enforcement functions with respect to the Mainland financial markets; and

容許相關中華通結算所：(i)收集、使用及儲存您的券商客戶編碼及識別信息，以對券商客戶編碼及識別信息作出合併及核實並與其投資者身份識別資料庫作出配對，及把合併、核實及配對的券商客戶編碼及識別信息提供予相關中華通證券交易營運者、交易所及相關交易所附屬公司；(ii)使用您的券商客戶編碼及識別信息，以履行其證券帳戶管理的法定職能；及(iii)披露該等資料予中國大陸相關監管機構及執法機關，以配合其履行關於中國大陸金融市場的監管、監察及執法職能；及

(d) to allow the relevant China Connect Market Operator to: (i) collect, use and store your BCAN and CID to facilitate their surveillance and monitoring of securities trading on the relevant China Connect Market through the use of the China Connect Service and enforcement of the rules of the relevant China Connect Market Operator; and (ii) disclose such information to the Mainland regulatory authorities and law enforcement agencies so as to facilitate the performance of their regulatory, surveillance and enforcement functions with respect to the Mainland financial markets.

容許相關中華通證券交易營運者：(i)收集、使用及儲存您的券商客戶編碼及識別信息，以監察通過使用中華通服務在相關中華通市場進行之證券交易，和執行相關中華通證券交易營運者之規則；及(ii)披露該等資料予中國大陸相關監管機構及執法機關，以配合其履行關於中國大陸金融市場的監管、監察及執法職能。

By instructing us in respect of any transaction relating to China Connect Securities, you acknowledge and agree that we may use your personal data for the purposes of complying with the requirements of the Exchange and its rules as in force from time to time in connection with the Stock Connect Northbound Trading. You also acknowledge that despite any subsequent purported withdrawal of consent by you, your personal data may continue to be stored, used, disclosed, transferred and otherwise processed for the above purposes, whether before or after such purported withdrawal of consent.

當客戶指示我司進行任何中華通證券的交易時，您確認及同意，我司可以使用您的個人資料於遵守交易所的要求及其對滬深港通北向交易不時生效的規則。您也確認，即使未來您撤消同意，您的個人資料（不論在您撤消同意前或後）會繼續被儲存、使用、披露、轉移或以其他方式處理，以達至上述目的。

#### **Consequences of failing to provide Personal Data or Consent**

未能提供個人資料或同意的後果

Failure to provide us with your personal data or consent as described above may mean that we will not, or no longer be able, as the case may be, to carry out your trading instructions or provide you with our Stock Connect Northbound Trading Service.

您不能如上述向我司提供個人資料或同意，將可能導致我司（按情況）不會或不可繼續執行您的交易指示或向您提供滬深港通北向交易服務。

#### **Acknowledgement and Consent**

確認和同意

I acknowledge I have read and understand the content of Personal Information Collection Statement concerning Northbound China Connect Orders provided by EBSI. By ticking the box below, I signify my consent for EBSI to use my personal data on the terms of and for the purposes set out in the Personal Information Collection Statement concerning Northbound China Connect Orders.

我確認我已閱讀並理解由光大證券國際所發布的這份聲明之內容。通過勾選下面的方框，我表示我同意光大證券國際根據本關於滬深港通北向交易的個人資料收集聲明中的條款和目的使用我的個人資料。

☐ I agree to EBSI's use of my personal data for the purposes set out in the Personal Information Collection Statement concerning Northbound China Connect Orders.

我同意光大證券國際將本人的個人資料用於本關於滬深港通北向交易的個人資料收集聲明所述的目的。

#### **Pre-IPO Investing ("Grey Market")**

##### **首次公開招股前投資（「暗盤市場」）**

☐ I hereby confirm that I have read and fully understood the contents of the Pre-IPO Investing – Risk Disclosure Statement and Disclaimer and other relevant documents and guidance enclosed with or accompanying this Account Application, and I fully accept these terms as binding upon me and as having been incorporated into the Client Agreement. I also understand and accept the features, limitation and risks of Pre-IPO Investing and the terms and conditions of the services to be provided to me in connection with it. Pre-IPO Investing is also known as "Grey Market" investing or trading. Please provide access to the Pre-IPO Investing services for my relevant Securities Trading Accounts.

本人據此確認，本人已經閱讀及完全理解夾附或隨附本開戶申請表的首次公開招股前投資 — 風險披露聲明及免責聲明，以及其他相關文件和指引，並且本人完全接受該等條款對本人的約束力，猶如其已獲納入客戶協議。本人亦理解及接受首次公開招股前投資的特點、限制和風險及就此向本人提供的服務的條款及條件。首次公開招股前投資亦稱作「暗盤市場」投資或交易。請為本人的有關證券交易賬戶提供首次公開招股前投資服務。

## SECTION I INDIVIDUAL - SELF CERTIFICATION FORM (CRS)

### 個人 - 自我證明表格（共同匯報標準）

**Please read these instructions before completing the form.**

請在填寫本表格前細閱以下指示。

Regulations based on Organization for Economic Co-operation and Development (“OECD”) Common Reporting Standard (“CRS”) require EBSI<sup>1</sup> to collect and report certain required information based on an individual account holder’s tax residency status.

根據經濟合作與發展組織（簡稱「經合組織」）的共同匯報標準（簡稱「CRS」）的規定，光大證券國際<sup>1</sup>必須根據個人帳戶持有人的稅務居住地蒐集及匯報所需相關資料。

Each jurisdiction has its own rules for defining tax residence. In general, tax residence is the country in which you live. Special circumstances (such as studying abroad, working overseas or extended travel) may cause you to be resident elsewhere or resident in more than one country at the same time (multiple tax residency). For more information on tax residence, please consult your tax adviser or the information at the following link for CRS at <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>.

每個司法管轄區均按其本身的規則釐定稅務居住地的定義。一般而言，稅務居住地定義為您擁有稅務居民身份的國家。若干特別情況（如海外留學、海外工作或延長旅遊逗留期限）可能會導致您成為其他地方的稅務居民，或於同一時間成為超過一個國家的稅務居民（多重稅務居住地）。有關稅務居住地的詳情，請諮詢您的稅務顧問，或瀏覽有關CRS的網頁<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>。

If your tax residency status (or that of the account holder, if you are completing the form on his / her behalf) is located outside of the country in which this account is maintained, we may be legally obliged to pass on the information in this form and other financial information with respect to the financial accounts to the tax authority in the country where EBSI<sup>1</sup> is located.

若帳戶持有人的稅務居住地位處的國家與開設本帳戶的國家不同，或您代表帳戶持有人填寫本表格，其位處的國家與開設本帳戶的國家不同，我們在法律上可能有責任將本表格內的資料及與財務帳戶有關的其他財務資料，傳送給光大證券國際<sup>1</sup>位處國家的稅務機關。

This form will generally remain valid unless there is a change in circumstance relating to your tax residency status. You must notify us within 30 days if there is a change in circumstance that affects the tax residency status of the individual or makes any of the information provided in this form incorrect or incomplete and provide an updated self-certification form.

本表格將一直有效，直至您的稅務居民身份出現變動為止。若情況有所改變，以致影響您的稅務居民身份或引致本表格所載的資料不正確或不完整，您必須在情況發生變動後的30日內通知我們，並提交一份已適當更新的自我證明表格。

This form is intended to request information only where such request is not prohibited by applicable local law or regulations.

本表格僅擬作要求帳戶持有人提供資料之用，有關要求不被當地適用的法律或法規禁止。

<sup>1</sup> “EBSI” means China Everbright Securities International Company Limited and each and every subsidiary company, associated company and affiliate of China Everbright Securities International Company Limited, including but not limited to Everbright Securities International (HK) Limited and its subsidiaries.

「光大證券國際」指中國光大證券國際有限公司、其每一間子公司、聯營公司及有聯繫公司，包括但不限於光大證券國際（香港）有限公司及其子公司。

**Section 1: CRS Declaration of Tax Residency (Please note you must list all jurisdictions of tax residence)****第1部份： CRS 稅務居民身份聲明（請列明所有您作為稅務居民所屬的司法管轄區）**

Please indicate **ALL** (not restricted to five) the Applicant's/account holder's jurisdiction of tax residence and associated TIN.  
請列明所有（不限於5個）申請人／帳戶持有人作為稅務居民所屬的司法管轄區及其稅務編號。

If the Applicant/account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number.  
如申請人／帳戶持有人是香港稅務居民，稅務編號是其香港身份證號碼。

**NOTE:** If a TIN is unavailable, provide the appropriate reason A, B or C:

註：如沒有提供稅務編號，必須填寫合適的理由：

**Reason A** – The jurisdiction where the Applicant/account holder is a resident for tax purposes does not issue TINs to its residents.

**理由A** – 申請人／帳戶持有人居留的司法管轄區並沒有向其居民發出稅務編號。

**Reason B** – The Applicant/account holder is unable to obtain a TIN. Explain why the Applicant/account holder is unable to obtain a TIN if you have selected this reason.

**理由B** – 申請人／帳戶持有人不能取得稅務編號。如選取理由B，請解釋申請人／帳戶持有人不能取得稅務編號的原因。

**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** – 申請人／帳戶持有人毋須提供稅務編號。居留司法管轄區的主管機關不需要申請人／帳戶持有人披露稅務編號。

Country/Jurisdiction of Tax Residence* 稅務居民所屬國家／司法管轄區*	TIN 稅務編號	Enter Reason A, B or C if no TIN is available 如沒有提供稅務編號，填寫理由 A、B或C	Explain why the Applicant/account holder is unable to obtain a TIN if you have selected Reason B 如選擇理由B，請解釋不能取得稅務編號的原因。
1.			
2.			
3.			
4.			
5.			

\* NOTE: Please make reference to the answers filled in Section A of Account Application (Individual Account)

\* 註：請參考開戶申請表（個人帳戶）上A項所填寫的資料

**Additional Information of the TIN (as appropriate) 有關稅務編號的其他資料（如適用）：**

---

---

---



## Section 2: Declaration and Undertakings

### 第2部份： 聲明及承諾

I declare that the information provided in this form is, to the best of my knowledge and belief, true, correct, complete and not misleading.

本人聲明盡本人所知所信，在本表格所提供的資料均屬真實、正確、完整且無誤導成分。

I acknowledge and understand and consent to the use that (a) the information contained in this self-certification is collected and may be kept by EBSI<sup>1</sup> for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the account holder and any reportable account(s) may be reported to the tax authority of the country/jurisdiction in which this/these account(s) is/are maintained and exchanged with tax authorities of another country/jurisdiction or countries/jurisdictions in which the account holder may be tax resident pursuant to intergovernmental agreements to exchange financial account information.

本人確認、明白及同意光大證券國際<sup>1</sup>可根據自動交換財務帳戶資料之跨政府協議，(a)蒐集及備存本表格所載的資料以作自動交換財務帳戶資料的用途，及(b)可能將該等資料及關於帳戶持有人及任何須申報帳戶的資料向帳戶所在國家 / 司法管轄區的稅務機關，並與另一個國家 / 司法管轄區的稅務機關或帳戶持有人作為稅務居民的國家 / 司法管轄區的稅務機關交換該等資料。

I undertake to advise EBSI<sup>1</sup> and provide an updated self-certification form within 30 days of the occurrence of any change in circumstances which affects my tax residency status or makes any of the information provided in this form incorrect or incomplete.

本人承諾，如情況有所改變，以致影響本人的稅務居民身份或引致本表格所載的資料不正確或不完整，本人會在情況發生改變後 30 日內通知光大證券國際<sup>1</sup>及提交一份已適當更新的自我證明表格。

#### **Important Note 重要提示**

**I agree that the information and personal data contained in this self-certification form shall be used by EBSI<sup>1</sup> for the purpose of updating information and personal data provided by me in connection with all my account(s) maintained with EBSI<sup>1</sup>. I also agree to provide such further information and supporting documents as requested by EBSI<sup>1</sup> from time to time for the update.**

本人同意於自我證明表格內的信息及個人資料將會被光大證券國際<sup>1</sup>用作更新有關本人於光大證券國際<sup>1</sup>維持的所有帳戶的信息及個人資料。本人亦明白本人必須按照光大證券國際<sup>1</sup>不時的要求就有關信息及個人資料提供相關證明文件。

#### **WARNING警告：**

It is an offence under the laws of Hong Kong 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.

根據香港法例，如任何人士在作出自我證明時，在明知一項陳述在要項上具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。

As a financial institution, we are not allowed to give tax or legal advice. If you have any questions about this form, these instructions, or defining your tax residency status, please speak to your tax adviser or domestic tax authority. If in doubt, please seek independent tax and / or legal advice.

作為一家金融機構，我們不能就此提供稅務或法律意見。如對本表格、此等指引或就您的稅務居民身份有任何疑問，請向您的稅務顧問或當地稅務機關查詢。如有任何疑問，請尋求獨立的稅務及 / 或法律意見。

<sup>1</sup> "EBSI" means China Everbright Securities International Company Limited and each and every subsidiary company, associated company and affiliate of China Everbright Securities International Company Limited, including but not limited to Everbright Securities International (HK) Limited and its subsidiaries.

「光大證券國際」指中國光大證券國際有限公司、其每一間子公司、聯營公司及有聯繫公司，包括但不限於光大證券國際（香港）有限公司及其子公司。

I, the Applicant, agree to the Additional Terms and Conditions in **Section H & Section I** of this Account Application to which I have chosen by adding a tick or signed separately.

本人，即申請人，同意本申請表**H項及I項**所載並經本人剔選或分別簽署的額外條款及條件。

Applicant's signature

申請人簽署

Date 日期：

**Optional Information** 自由提供資料

Applicant's Background 申請人背景：\_\_\_\_\_

Applicant's relationship with Wealth Manager  
申請人與客戶經理的關係

- ☐ Walk-in 街客
- ☐ The Applicant is the existing client of EBSI 申請人是光大證券國際的現有客戶
- ☐ Client referral<sup>#</sup> 客戶轉介<sup>#</sup>

Name (in English): Mr/Mrs/Miss/Ms\* Surname (in English) : \_\_\_\_\_ Given Name : \_\_\_\_\_

姓名（中文）：先生 / 太太 / 小姐 / 女士\* 姓（中文） \_\_\_\_\_ 名 \_\_\_\_\_

Trading account number(s) 交易帳戶號碼 \_\_\_\_\_

- ☐ Other referral<sup>#</sup> 其他轉介<sup>#</sup>

Relationship 關係 \_\_\_\_\_

Name (in English): Mr/Mrs/Miss/Ms\* Surname (in English) : \_\_\_\_\_ Given Name : \_\_\_\_\_

姓名（中文）：先生 / 太太 / 小姐 / 女士\* 姓（中文） \_\_\_\_\_ 名 \_\_\_\_\_

- ☐ Others (Please specify) 其他（請註明） \_\_\_\_\_

How long has the Applicant been known to Wealth Manager 客戶經理認識申請人的日子多久： \_\_\_\_\_

\* Please delete as appropriate 請刪去不適用者

<sup>#</sup> If Client referral or Other referral is selected, please provide details 如果選擇客戶轉介或其他轉介，請提供詳情

Wealth Manager Signature 客戶經理簽署：

Full name 全名：

Details of any license or registration (including CE No.) 牌照或註冊資料（包括中央編號）： \_\_\_\_\_

Approved account opening for and on behalf of the relevant company(ies) of EBSI Group by  
經由下列人士為及代表相關光大證券國際集團的公司核准開戶

Authorized Signatory  
獲授權簽署人

Name (please print):

姓名（正楷）

Date 日期：

