

公 司 開 戶 表 格

Corporate Account Opening Form

Delta Asia Securities Limited is licensed to carry on Type 1, Type 2, Type 4, Type 5 and Type 9 regulated activities (Cap.571) (CE No. AAW265)

滙業證券有限公司獲准從事第一類， 第二類， 第四類， 第五類及第九類受規管活動(中央編號: AAW265)

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Account No 客户号码: _____
 Account Opening Date
 开户日期: _____
 A.E. Code 经纪编号: _____

This form shall be read with Terms and Conditions of the Client Agreement.
 此表格须与客户协议内的条款及条件一并阅读。

*Please delete whichever is inapplicable 请删去不适用者

*Please tick the appropriate box 请在适当空格加✓

ACCOUNT OPENING FORM 开户表格
Corporate 公司

A. Account Type 账户类别

Account Type 账户种类		Trading Platform 交易方式
Securities 证券	☐ Cash Securities Account 证券现金账户	☐ Telephone (Manual) 电话人手落盘
	☐ Margin Securities Account 证券保证金账户	☐ Electronic 电子交易
	☐ Stock Options Account 股票期权账户	
Futures 期货	☐ Futures & Index Options Account 期货及指数期权	☐ Telephone (Manual) 电话人手落盘 ☐ Electronic 电子交易

B. Client Information 客户资料

B.1 Corporate Information 公司资料

Entity of the Client 客户身份	☐ Listed Company 上市公司 ☐ Unlisted Limited Company 非上市有限公司 ☐ Overseas Company 海外公司 ☐ Unlimited Company 无限公司	☐ Sole Proprietorship 独资企业 ☐ Partnership 合伙企业 ☐ Trust Company 信托公司 ☐ Others 其他 _____
English Name 英文名称: _____		
Chinese Name 中文名称: _____		
Country of Incorporation 注册国家: _____	Date of Incorporation 公司注册日期: _____	
Certificate of Incorporation No. 公司注册证号码: _____	Business Registration Cert. No. 商业登记证号码: _____	
Office Tel No. 公司电话号码: _____	Facsimile No. 传真号码: _____	
Nature of Business 业务性质: _____	E-mail Address 电邮地址: _____	
Address of Registration 注册办事处地址: _____		
Business Address 业务地址: _____		

B.2 Financial Background 财务资料背景

Paid-up Share Capital (HKD) 缴足股本(港元): _____	Authorized Share Capital (HKD) 注册资本(港元): _____
Net Asset Value (HKD) 资产净值(港元): _____	Latest Annual Profit (HKD) 最近年度利润(港元): _____

B.3 Corporate Structure 公司结构

**(i) Particular of Major Shareholders (Shareholding of 25% or more) (not applicable to public listed company)
 主要股东资料细节 (持有百分之二十五或以上股权) (上市公司不用填写)**

Name 姓名	ID / Passport No. 身份证 / 护照号码	Residential Address 住址	Ratio (%) 百分率
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

(ii) Particular of Directors of the Company 董事资料细节				
Name 姓名	ID / Passport No. 身份证 / 护照号码	Residential Address 住址		
B.4 Authorized Person 获授权人士				
All instructions will follow the Client's Board Resolution. 所有指示以客户的董事决议为准。				
C. Ultimate Beneficial Owner(s) of the Account (not applicable to public Listed Company) 账户最终权益拥有人(不适用于上市公司)				
Name of Sole Proprietor / Partner / Ultimate Shareholder 独资企业 / 合伙企业 / 最终股东名称				
Name 姓名	ID / Passport No. 身份证 / 护照号码	Residential Address 住址	% of Interest 权益百分比	
D. Client Standing Settlement Bank Account 客户常设交收银行账户(Designated Bank Account 指定银行账户)				
	Account Type 账户类别	Bank Name 银行名称	Bank Account No. 银行账户号码	Currency 货币
1)*				HKD 港币
2)				
3)				
* Default (1) to First Standing Settlement Bank Account (HKD) 设定(1)为首要常设交收银行账户(港币)				
E. Method of Correspondence 通讯方式				
Please select one of the following method of communication 请选择以下其中一项通讯方式:				
☐ By Mail 邮递 - Business Address 业务地址 (P.O. Boxes are not accepted 邮政信箱恕不接受) * ☐ By E-Mail 电邮				
* Please refer to Fees and Charges 请参阅服务收费简介				
F. Investment Profile 投资概况				
Investment Objectives 投资目标:				
☐ Dividend Income 股息收入 ☐ Hedging 对冲 ☐ Capital Gain 资本增长 ☐ Speculative 投机 ☐ Others (Please specify) 其他 (请说明): _____				
Experience in Products 曾投资产品 :				
☐ HK Listed Stocks 香港上市股票 ☐ Overseas Listed Stocks 海外上市股票 ☐ HK Futures & Options 香港期货及期权 ☐ Overseas Futures & Options 海外期货及期权 ☐ Mutual Funds or Unit Trust 互惠基金或单位信托 ☐ Bonds 债券 ☐ Commodities 商品 ☐ None 没有 ☐ Others (Please specify) 其他(请说明): _____				

Year of Experience in Investment 投资经验年期:					
☐ Securities Trading 证券交易	☐ <1year 少于一年	☐ 1-5yrs 一至五年	☐ 6-10yrs 六至十年	☐ >10yrs 多于十年	
☐ Bonds 债券	☐ <1year 少于一年	☐ 1-5yrs 一至五年	☐ 6-10yrs 六至十年	☐ >10yrs 多于十年	
☐ CBBC 牛熊证	☐ <1year 少于一年	☐ 1-5yrs 一至五年	☐ 6-10yrs 六至十年	☐ >10yrs 多于十年	
☐ Derivative Warrants 衍生权证	☐ <1year 少于一年	☐ 1-5yrs 一至五年	☐ 6-10yrs 六至十年	☐ >10yrs 多于十年	
☐ Rights 供股权	☐ <1year 少于一年	☐ 1-5yrs 一至五年	☐ 6-10yrs 六至十年	☐ >10yrs 多于十年	
☐ ETF 交易所买卖基金	☐ <1year 少于一年	☐ 1-5yrs 一至五年	☐ 6-10yrs 六至十年	☐ >10yrs 多于十年	
☐ Futures/Options 期货/期权	☐ <1year 少于一年	☐ 1-5yrs 一至五年	☐ 6-10yrs 六至十年	☐ >10yrs 多于十年	
☐ Stock Options 股票期权	☐ <1year 少于一年	☐ 1-5yrs 一至五年	☐ 6-10yrs 六至十年	☐ >10yrs 多于十年	
☐ Convertible Bonds 可换股债券	☐ <1year 少于一年	☐ 1-5yrs 一至五年	☐ 6-10yrs 六至十年	☐ >10yrs 多于十年	
☐ Commodities 商品	☐ <1year 少于一年	☐ 1-5yrs 一至五年	☐ 6-10yrs 六至十年	☐ >10yrs 多于十年	
☐ Others 其他: _____	☐ <1year 少于一年	☐ 1-5yrs 一至五年	☐ 6-10yrs 六至十年	☐ >10yrs 多于十年	
☐ None 没有					

F.1 Knowledge of Structured or Derivative Products 对结构性或衍生产品知识

(Refer to the following statements and tick the appropriate box(es) below✓按以下选择, 在下列方格中加上)

☐ At least one of the person(s) responsible for making investment decisions understand(s) the nature and risks of derivate products due to:
代表公司做决定的人士, 最少一位了解衍生产品的性质和风险:

- Undergoing relevant training or attending course in
已接受有关的培训或课程。

☐ Regulatory Authority 监管机构	☐ Exchange 交易所	☐ Financial Institution 金融机构	☐ Education Institution 进修学院	☐ Tertiary Institution 大专院校
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- By gaining prior relevant work experience in financial institutions such as a brokerage firm or bank, fund house or asset management firm, regulatory authority or exchange.
于经纪公司或银行、基金或资产管理公司、监管机构或交易所等金融机构拥有有关的工作经验。

☐ Regulated Licensed 受监管持牌人士	☐ Derivatives Related Back Office 与衍生工具相关后勤	☐ Management 管理层
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- Executing five or more transactions in derivative products (whether traded on an exchange or not) within the past three years.
☐ 于过去三年内进行了五次或以上有关衍生产品之交易。(不论是否于交易所进行交易)

☐ The person(s) responsible for making investment decisions have NO knowledge of derivative products.
代表公司做投资决定的人士并未有衍生产品之认识。

For clients who do not have any of the above-mentioned derivative products knowledge and experience, such clients will be considered as without knowledge of structured and / or derivatives product(s). Before trading in structured and/ or derivative product(s), the Client has read and understood the risks disclosure statements of Derivatives traded on Exchange included in the Client Agreement and agree to bear the risks involved. 如客户没有以上任何一项结构性及/或衍生工具产品的经验及认识, 客户将被视作没有结构性及/或衍生工具产品认识。在客户买卖结构性及/或衍生工具产品之前, 客户就此确认已阅读及理解包括于客户协议中有关在交易所买卖的衍生产品的风险披露声明, 并同意承担有关风险。

☐ Our company agree to bear the risks involved. 本公司同意承担有关风险。

F.2 Investment Profile Questionnaire 投资取向问卷

1.	What is the longest investment period which your company would be willing to commit? 如贵公司有意投资, 可接受的最长投资期是多久? ☐ A. Less than 1 year 少于 1 年 ☐ B. 1 - 3 years 1 至 3 年 ☐ C. 4 - 7 years 4 至 7 年 ☐ D. 8 - 10 years 8 至 10 年 ☐ E. Over 10 years 多于 10 年	[1] [2] [3] [4] [5]
2.	Which of the following statements best describes your company's investment goal? 哪一个讲法最能表达贵公司的投资目标? ☐ A. We want to preserve capital even if it means little to no gains 要求保本, 即使回报极低甚至没有获利。 ☐ B. We are looking for a stable stream of income that is higher than what bank deposits can provide. 希望有稳定的投资回报, 获利较银行存款利息高。 ☐ C. We are looking for a combination of regular income as well as some capital growth. 要求有经常性收入, 而且资本也有所增长。 ☐ D. Maintain the investment through any price fluctuations as long as it does not hit any stop loss and subject to any change in the fundamentals of the investment. 虽然价格有所波动, 但如未到任何止蚀位及视乎该投资项目基本面的变化, 仍会维持投资。 ☐ E. We are looking for high capital growth. 要求高额的资本增长。	[1] [2] [3] [4] [5]

3.	Which of the following statements could best describe your attitude towards investment risk? 以下哪一段陈述最能反映你对投资风险的态度? ☐ A. I am not willing to accept any risk. 我不愿意承受任何风险。 ☐ B. I am trying to avoid risks but minor ones are still acceptable. 我会尽量回避风险, 但可承受较低的风险。 ☐ C. I am trying to strike a balance between risks and returns. 我会平衡风险与回报。 ☐ D. I am willing to accept more risks, as I aim for more returns. 我愿意承受较高的风险, 以换取更高回报。 ☐ E. I never consider risks, as I aim to maximize returns. 我不会考虑风险, 务求得到最高回报。	[1] [2] [3] [4] [5]
4.	What would be your company's response to a drop in value of the highest risk investment in your portfolio absent any changes to that investment's fundamentals? 请问贵公司在投资组合中风险最高的投资价值下跌之时会做何反应贵公司可以接受以下哪个年度的价格波幅? ☐ A. Sell that investment immediately to avoid further losses, even if the drop in value is small. 即使价值只是轻微下跌, 也立刻沽出投资以减低损失。 ☐ B. Although any drop in value would make your company feel quite uneasy, only sell if the drop in value is significant. 虽然价值下跌贵公司感到好有压力, 但也只会在价值大幅下跌时沽出。 ☐ C. Sell some of the investment to decrease exposure but otherwise maintain the investment subject to any change in the fundamentals of the investment. 沽出部份投资产品以减低损失, 但视乎该投资项目基本面的变化, 仍会维持投资。 ☐ D. Maintain the investment through any price fluctuations as long as it does not hit any stop loss and subject to any change in the fundamentals of the investment. 虽然价格有所波动, 但如未到任何止蚀位及视乎该投资项目基本面的变化, 仍会维持投资。 ☐ E. Maintain the investment no matter how large the losses and only sell if there was a change in the fundamentals of that investment. 除非该投资项目基本面有变化, 否则不论亏损多大, 仍会维持投资。	[1] [2] [3] [4] [5]
5.	Which of the following annual price fluctuations would be acceptable to your company? 贵公司可以接受以下哪个年度价格波幅? ☐ A. No price fluctuation 没有价格波幅 ☐ B. Price fluctuates between -5% to +5% 价格波幅介乎-5%至+5% ☐ C. Price fluctuates between -10% to +10% 价格波幅介乎-10%至+10% ☐ D. Price fluctuates between -15% to +15% 价格波幅介乎-15%至+15% ☐ E. Price fluctuates between -20% to +20% 价格波幅介乎-20%至+20%	[1] [2] [3] [4] [5]
6.	What portion of your company's total net wealth (excluding the value of your self-use properties) is available for investment each month? 贵公司的总资产净值整体收入(不计算自用物业的价值)有多少可用于投资? ☐ A. Less than 10% 少于 10% ☐ B. 10% - 29% ☐ C. 30% - 49% ☐ D. 50% - 69% ☐ E. 70% or above 多于 70%	[1] [2] [3] [4] [5]
7.	What is your company's expected return for your investment portfolio as a whole? 贵公司期望的投资组合整体回报率是多少? ☐ A. The same as the inflation rate 与通胀率一样 ☐ B. Greater than and up to 2% above the inflation rate 高于通胀率至 2% ☐ C. Greater than 2% and up to 5% above the inflation rate 高于通胀率 2% 以上至 5% ☐ D. Greater than 5% and up to 8% above the inflation rate 高于通胀率 5% 以上 至 8% ☐ E. Greater than 8% above the inflation rate 高于通胀率 8% 以上	[1] [2] [3] [4] [5]
	The total source of your company overall risk tolerance level is 贵公司的整体风险承受能力的总得分是	
Overall Risk Tolerance Level 整体风险承受能力		
☐	Investor profile 1 - Safety Oriented 投资者类型 1 - 谨慎型 (≤7) Risk tolerance level 风险承受程度: You company prefer investments with negligible price movements which can normally be sold within a week or promise to repay what you invest within a year. 贵公司倾向于价格变动较少, 并在一般情况下可在少于一星期内出售或承诺于一年内取回投资本金的投资产品。 Investment objectives 投资目标: This investor rating is suitable for investors that aim to protect capital and accept returns in line with savings accounts. 此投资类型适合旨在保障资金, 并愿意接受与储蓄账户相约回报的投资者。	
☐	Investor profile 2 - Conservative 投资者类型 2 - 保守型 (8-14) Risk tolerance level 风险承受程度: You company can tolerate investments within limited negative price movements which can normally be sold within a week for a price that is close to the recent market average. 贵公司可接受您的投资出现有限度的价格不利变动, 并通常可在一星期内出售及以接近平均价出售的投资产品。 Investment objectives 投资目标: This investor rating is suitable for investors that aim primarily for regular income returns along with some capital appreciation as a secondary option. 此投资类型适合旨在追求经常性收入, 及同时获取一些资本增值的投资者。	

☐	Investor profile 3 - Moderate 投资者类型 3 - 平衡型 (15-21) Risk tolerance level 风险承受程度: You company can tolerate investments with moderate negative price movements which can normally be sold within a week for a price that is close to the recent market average. 贵公司可接受您的投资出现适度的价格不利变动, 并通常可在一星期内出售及以接近平均市价出售的投资产品。 Investment objectives 投资目标: This investor rating is suitable for investors that aim for both regular income returns and capital appreciation. 此投资类型适合旨在追求经常性收入及资本增值的投资者。
☐	Investor profile 4 - Aggressive 投资者类型 4 - 进取型 (22-28) Risk tolerance level 风险承受程度: You company can tolerate investments with substantial negative price movements that may have a small risk of losing their entire value and may be difficult to sell or may only be sold at a price below the recent market average. 贵公司可接受有大幅度价格不利变动, 可能有少许风险会丧失全部价值, 并可能难以出售或有机会只可按低于近期平均市价出售的投资产品。 Investment objectives 投资目标: This investor rating is suitable for investors that aim primarily for capital appreciation and no or little regular income returns. 此投资类型适合旨在追求资本增值, 而非经常性收入的投资者。
☐	Investor profile 5 - Specialised Investing 投资者类型 5 - 专业性投资型 (29-35) Risk tolerance level 风险承受程度: You company can tolerate investments that may have a high risk of losing their entire value or even more than your initial investment and may have a highly uncertain value at any given time and also be very difficult or impossible to sell over an extended period. 贵公司可接受可能有高风险会丧失全部价值或有关损失会超出你原本的投资金额、可能在任何特定时间内价值不明确, 而非非常困难或没可能在一段较长的时间内出售的投资产品。 Investment objectives 投资目标: This investor rating is suitable for investors that seek very aggressive capital appreciation over time with investments that may not be liquidated before maturity. 此投资类型适合追求可能不容许于到期日前变现, 并非非常进取的长线资本增值的投资者。
Client's Declaration 客户声明 Our Company hereby declare and agree that all the information given above is complete, true and accurate, and is given to the best of my knowledge. Our company acknowledge that a copy of "Client Risk Profiling Questionnaire – Investment Products" has been given to me. 本公司谨此声明并同意上述所有数据均是完整、真实及准确, 并且是尽本公司所知而作答。本公司确认收到「投资产品 – 风险承受能力问卷」的副本。 ☐ Our company agree and accept the above assessment of my investment profile. 本公司同意并接受上述对本公司的投资类型的评估。 ☐ Our company disagree with the above assessment of my investment profile and our company investment profile should be: (Please explain in detail.) 本公司不同意上述对本公司的投资类型的评估, 且认为本公司的投资类型应为: (请详细解释)	

G. Disclosure of Information 资料披露	
1.	Is any director, substantial shareholder or the ultimate beneficial owner of the Account, or his spouse, partner, child, parent, spouse or partner of his child, or a closely associate with him entrusted or has been entrusted with a prominent public function, which includes a head of state, head of government, judicial or military official, senior executive of a state-owned corporation or an important political party official? 账户之任何董事、主要股东或最终实益拥有人, 或其配偶、伴侣、子女或父母, 或其子女的配偶或伴侣, 或与其关系密切的人, 是否担任或曾担任重要公职, 包括国家元首、政府首长、司法或军事官员、国有企业高级行政人员或重要政党干事? ☐ No 不是 ☐ Yes 是, Please specify 请注明: _____
2.	Is your Company, any of the Company's shareholders/directors, the Authorized Person, the ultimate beneficial owner(s) of the Account and/or the person ultimately responsible for giving instructions for the Account, a Licensed or Registered Person, or a director or an employee of any Licensed or Registered Person of the Securities and Futures Commission in Hong Kong? 贵公司、其任何一位股东 / 董事、授权人士、此账户最终权益拥有人及 / 或就此账户进行交易的最终负责发出指示人仕, 是否香港证券及期货事务监察委员会的持牌或注册人仕, 或任何持牌或注册人仕之董事或职员? ☐ No 不是 ☐ Yes 是, Name of the Licensed or Registered Person(s) 持牌或注册人仕名称: _____
3.	Does your Company, any of the Company's shareholders/directors, the Authorized Person, the ultimate beneficial owner(s), and/or the person ultimately responsible for giving instructions for the Account have any family relationship with any director or employee of DAS and / or its affiliates? 贵公司, 其任何一位股东 / 董事、授权人仕、作为此账户最终权益拥有人及/或就此账户进行交易的最终负责发出指示人仕, 与汇业证券及 / 或其联属公司之董事或职员是否有亲属关系? ☐ No 没有 ☐ Yes 有, Please specify 请注明: Name of Director/Employee 董事或职员姓名 Relationship 关系 _____
4.	Is your Company in control of 35% or more of a company, or does the Company belong to the same group of companies as another company, which maintains a margin account with DAS and / or its Affiliates, or does any of the Company's shareholders/directors, the Authorized Person, the ultimate beneficial owner(s), and/or ultimate responsible person for originating instruction or any related person of the Company maintain a margin account with DAS and / or its affiliates?

贵公司是否在一间于汇业证券及 / 或其附属公司持有保证金账户的公司中拥有百分之三十五或以上的股权及 / 或表决权及 / 或, 贵公司是否与一间于汇业证券及 / 或其附属公司持有保证金账户的公司同属一个集团及 / 或贵公司之任何一位股东 / 董事、授权人仕、作为此账户最终权益拥有人, 及 / 或此账户进行交易的最负责发出指示人仕 (“有关人仕”), 及 / 或任何贵公司相关连人仕, 于汇业证券及 / 或其附属公司持有保证金账户?

☐ No 不是

☐ Yes 是, Please specify 请注明: _____

5. Does your Company maintain any other account(s) with DAS and / or its affiliates?

贵公司现时是否持有汇业证券及 / 或其附属公司之其他账户?

☐ No 不是

☐ Yes, please provide details 是, 请提供详细资料:

Account Name 账户名称	
Account Type 账户类别	
Account No. 账户号码	

6. Is your company incorporated in US or generated income of USA for tax purpose?

贵公司是否在美国注册成立或美国税务目的产生的收入?

☐ No. 不是

☐ Yes, please fill in Form W-9 是, 请填写 W-9 表格

7. Any substantial shareholder (10% or above shareholding) a U.S. citizen/resident?

本公司的具影响力股东(持有 10%或以上股权)是否美国公民/居民?

☐ No. 不是

☐ Yes, please fill in Form W-9 是, 请填写 W-9 表格

8. Any shareholder of your corporation a U.S. citizen/resident?

本公司的任何一位股东是否美国公民/居民?

☐ No. 不是

☐ Yes, please fill in Form W-9 是, 请填写 W-9 表格

9. Is the beneficiary of this account a U.S. citizen/resident?

此账户的受益人是否美国公民/居民?

☐ No. 不是

☐ Yes, please fill in Form W-9 是, 请填写 W-9 表格

10. Is the authorized person of this account a U.S. citizen/resident?

此账户的获授权人士是否美国公民/居民?

☐ No. 不是

☐ Yes, please fill in Form W-9 是, 请填写 W-9 表格

H. Self-Certification 自我证明 - 实体 Entity

Important Notes 重要提示:

- ✧ This is a self-certification provided by an account holder to a reporting financial institution for the purpose of automatic exchange of financial account information. The data collected may be transmitted by the reporting financial institution to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.
这是由账户持有人向申报财务机构提供的自我证明, 以作自动交换财务账户数据用途。申报财务机构可把收集所得的资料交给税务局, 税务局会将资料转交到另一税务管辖区的税务当局。
- ✧ An account holder should report all changes in his/her tax residency status to Delta Asia.
账户持有人应向汇业申报其税务居民身份的所有变化。

(i) Entity Type 实体类别

Tick one of the appropriate boxes and provide the relevant information. 在其中一个适当的方格内加上 号, 并提供有关资料。

Financial Institution 财务机构	☐ Custodial Institution, Depository Institution or Specified Insurance Company 托管机构、存款机构或指明保险公司
	☐ Investment Entity, except an investment entity that is managed by another financial institution (e.g. with discretion to manage the entity's assets) and located in a non-participating jurisdiction 投资实体, 但不包括由另一财务机构管理(例如: 拥有酌情权管理投资实体的资产)并位于非参与税务管辖区的投资实体
Active NFE 主动非财务实体	☐ NFE the stock of which is regularly traded on _____, which is an established securities market 该非财务实体的股票经常在 _____ (一个具规模证券市场) 进行买卖
	☐ Related entity of _____, the stock of which is regularly traded on _____, which is an established securities market _____ 的有关连实体, 该有关连实体的股票经常在 _____ (一个具规模证券市场) 进行买卖
	☐ NFE is a governmental entity, an international organization, a central bank, or an entity wholly owned by one or more of the foregoing entities 政府实体、国际组织、中央银行或由前述的实体全权拥有的其他实体
	☐ Active NFE other than the above (Please specify _____) 除上述以外的主动非财务实体 (请说明 _____)

Passive NFE 被动非财务实体	☐ Investment entity that is managed by another financial institution and located in a non-participating jurisdiction 位于非参与税务管辖区并由另一财务机构管理的投资实体
	☐ NFE that is not an active NFE 不属主动非财务实体的非财务实体

(ii) Controlling Persons 控权人

(Complete this part if the entity account holder is a passive NFE 如实体账户持有人是被动非财务实体，填写此部)

Indicate the name of all controlling person(s) of the account holder in the table below. If no natural person exercises control over an entity which is a legal person, the controlling person will be the individual holding the position of senior managing official. Complete Form IR1457 (Self-Certification Form – Controlling Person) for each controlling person.
就账户持有人，填写所有控权人的姓名在列表内。就法人实体，如行使控制权的并非自然人，控权人会是该法人实体的高级管理人员。每名控权人须分别填写一份 IR1457 表格（自我证明表格 – 控权人）。

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

(iii) Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent (“TIN”) 留司法管辖区及税务编号或具有等同功能的识辨编号（以下简称「税务编号」）

Complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the account holder is a resident for tax purposes and (b) the account holder’s TIN for each jurisdiction indicated. Indicate all (not restricted to five) jurisdictions of residence.
提供以下数据，列明（a）账户持有人的居留司法管辖区，亦即账户持有人的税务管辖区（香港包括在内）及（b）该居留司法管辖区发给账户持有人的税务编号。列出所有（不限于 5 个）居留司法管辖区。

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Business Registration Number.
如账户持有人是香港税务居民，税务编号是其香港商业登记号码。
If the account holder is not a tax resident in any jurisdiction (e.g. fiscally transparent), indicate the jurisdiction in which its place of effective management is situated.
如果账户持有人并非任何税务管辖区的税务居民（例如：它是财政透明实体），填写实际管理机构所在的税务管辖区。
If a TIN is unavailable, provide the appropriate reason A, B or C:
如没有提供税务编号，必须填写合适的理由：

- Reason 理由 A - The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.
账户持有人的居留司法管辖区并没有向其居民发出税务编号。
- Reason 理由 B - The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN if you have selected this reason.
账户持有人不能取得税务编号。如选取这一理由，解释账户持有人不能取得税务编号的原因。
- Reason 理由 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.
账户持有人毋须提供税务编号。居留司法管辖区的主管机关不需要账户持有人披露税务编号。

Jurisdiction of Residence 居留司法管辖区	TIN 税务编号	Enter Reason A, B or C if no TIN is available 如没有提供税务编号，填写理由 A、B 或 C	Explain why the account holder is unable to obtain a TIN if you have selected Reason B 如选取理由 B，解释账户持有人不能取得税务编号的原因
(1)			
(2)			
(3)			
(4)			
(5)			

Declarations and Signature 声明及签署

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by Delta Asia Securities Limited (“DAS”) 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 by the financial institution to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the account holder may be resident for tax purposes, pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112).

I certify that I am authorized to sign for the account holder of all the account(s) to which this form relates.

I undertake to advise Delta Asia Securities Limited of any change in circumstances which affects the tax residency status of the entity identified in Part 1 of this form or causes the information contained herein to become incorrect, and to provide Delta Asia Securities Limited with a suitably updated self-certification form within 30 days of such change in circumstances.

I declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete.

本人知悉及同意，汇业证券有限公司(“汇业证券”)可根据《税务条例》(第 112 章)有关交换财务账户资料的法律条文，(a) 收集本表格所载数据并可备存作自动交换财务账户数据用途及 (b) 把该等资料和关于账户持有人及任何须申报账户的资料向香港特别行政区政府税务局申报，从而把资料转交到账户持有人的居留司法管辖区的税务当局。

本人证明，就与本表格所有相关的账户，本人获账户持有人授权签署本表格。

本人承诺，如情况有所改变，以致影响本表格第 1 部所述的实体的税务居民身分，或引致本表格所载的数据不正确，本人会通知汇业证券有限公司，并会在情况发生改变后 30 日内，向汇业证券有限公司提交一份已适当更新的自我证明表格。

本人声明就本人所知所信，本表格内所填报的所有数据和声明均属真实、正确和完备。

Signature 签署：_____

Client Name 客户姓名：_____ Date (dd/mm/yy) 日期(日/月/年)：_____

WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. \$10,000).

警告：根据《税务条例》第 80(2E)条，如任何人在作出自我证明时，在明知一项陈述在要项上属具误导性、虚假或不正确，或罔顾一项陈述是否在要项上属具误导性、虚假或不正确下，作出该项陈述，即属犯罪。一经定罪，可处第 3 级（即\$10,000）罚款。

I. Self-Certification 自我证明 - Controlling Person 控权人

Important Notes 重要提示：

- ✧ This is a self-certification provided by an account holder to a reporting financial institution for the purpose of automatic exchange of financial account information. The data collected may be transmitted by the reporting financial institution to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.
这是由账户持有人向申报财务机构提供的自我证明，以作自动交换财务账户数据用途。申报财务机构可把收集所得的资料交给税务局，税务局会将资料转交到另一税务管辖区的税务当局。
- ✧ An account holder should report all changes in his/her tax residency status to the Delta Asia.
账户持有人应向汇业申报其税务居民身份的所有变化。

(i) Identification of Controlling Person 控权人的身分识辨资料

Name 姓名	
Identity Card / Passport No 身份证或护照号码	
Current Residence Address 现时住址	
Date of Birth (dd/mm/yyyy) 出生日期	
Place of Birth (Not compulsory) 出生地点 (可不填写)	

(ii) The Entity Account Holder(s) of which you are a controlling person 你作为控权人的实体账户持有人

Enter the name of the entity account holder of which you are a controlling person. 填写你作为控权人的实体账户持有人的名称。

Name of the Entity Account Holder 实体账户持有人的名称

(1)

(2)

(3)

(iii) Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent (“TIN”)

留司法管辖区及税务编号或具有等同功能的识辨编号 (以下简称「税务编号」)

Complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the account holder is a resident for tax purposes and (b) the account holder's TIN for each jurisdiction indicated. Indicate all (not restricted to five) jurisdictions of residence.

提供以下数据，列明 (a) 账户持有人的居留司法管辖区，亦即账户持有人的税务管辖区 (香港包括在内) 及 (b) 该居留司法管辖区发给账户持有人的税务编号。列出所有 (不限于 5 个) 居留司法管辖区。

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number.

如账户持有人是香港税务居民，税务编号是其香港身份证号码。

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

如没有提供税务编号，必须填写合适的理由：

Reason 理由 A - The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.
账户持有人的居留司法管辖区并没有向其居民发出税务编号。

Reason 理由 B - The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN if you have selected this reason.
账户持有人不能取得税务编号。如选取这一理由，解释账户持有人不能取得税务编号的原因。

Reason 理由 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.
账户持有人毋须提供税务编号。居留司法管辖区的主管机关不需要账户持有人披露税务编号。

Jurisdiction of Residence 居留司法管辖区	TIN 税务编号	Enter Reason A, B or C if no TIN is available 如没有提供税务编号，填写理 由 A、B 或 C	Explain why the account holder is unable to obtain a TIN if you have selected Reason B 如选取理由 B， 解释账户持有人不能取得税务编号的原因
(1)			
(2)			
(3)			
(4)			
(5)			

(iv) Type of Controlling Person 控权人类别

Tick the appropriate box to indicate the type of controlling person for each entity stated in Part 2.

就第 2 部所载的每个实体，在适当方格内加上✓号，指出控权人就每个实体所属的控权人类别。

Type of Entity 实体类别	Type of Controlling Person 控权人类别	Entity 实体 (1)	Entity 实体 (2)	Entity 实体 (3)
Legal Person 法人	Individual who has a controlling ownership interest (i.e. not less than 25% of issued share capital) 拥有控制股权的个人（即拥有不少于百分之二十五的已发行股本）	☐	☐	☐
	Individual who exercises control/is entitled to exercise control through other means (i.e. not less than 25% of voting rights) 以其他途径行使控制权或有权行使控制权的个人（即拥有不少于百分之二十五的表决权）	☐	☐	☐
	Individual who holds the position of senior managing official/ exercises ultimate control over the management of the entity 担任该实体的高级管理人员/对该实体的管理行使最终控制权的个人	☐	☐	☐
Trust 信托	Settlor 财产授予人	☐	☐	☐
	Trustee 受托人	☐	☐	☐
	Protector 保护人	☐	☐	☐
	Beneficiary or member of the class of beneficiaries 受益人或某类别受益人的成员	☐	☐	☐
	Other (e.g. individual who exercises control over another entity being the settlor/trustee/protector/beneficiary) 其他（例如：如财产授予人/受托人/保护人/受益人为另一实体，对该实体行使控制权的个人）	☐	☐	☐

Legal Arrangement other than Trust 除信托以外的法律安排	Individual in a position equivalent/similar to settlor 处于相等/相类于财产授予人位置的个体	☐	☐	☐
	Individual in a position equivalent/similar to trustee 处于相等/相类于受托人位置的个体	☐	☐	☐
	Individual in a position equivalent/similar to protector 处于相等/相类于保护人位置的个体	☐	☐	☐

Individual in a position equivalent/similar to beneficiary or member of the class of beneficiaries 处于相等/相类于受益人或某类别受益人的成员位置的 个人	☐	☐	☐
Other (e.g. individual who exercises control over another entity being equivalent/similar to settlor/trustee/protector/beneficiary) 其他（例如：如处于相等/相类于财产授予人/受托人/保 护人/受益人位置的人为另一实体，对该实体行使控制权 的个人）	☐	☐	☐

Declarations and Signature 声明及签署

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by Delta Asia Securities Limited 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 by the financial institution to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the account holder may be resident for tax purposes, pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112).

I certify that I am the controlling person / I am authorized to sign for the controlling person # of all the account(s) held by the entity account holder(s) to which this form relates.

I undertake to advise Delta Asia Securities Limited of any change in circumstances which affects the tax residency status of the individual identified in Part 1 of this form or causes the information contained herein to become incorrect, and to provide Delta Asia Securities Limited with a suitably updated self-certification form within 30 days of such change in circumstances.

I declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete.

本人知悉及同意，汇业证券有限公司可根据《税务条例》（第 112 章）有关交换财务账户资料的法律条文，（a）收集本表格所载数据并可备存作自动交换财务账户数据用途及（b）把该等资料和关于账户持有人及任何须申报账户的资料向香港特别行政区政府税务局申报，从而把资料转交到账户持有人的居留司法管辖区的税务当局。

本人证明，就与本表格所有相关的实体账户持有人所持有的账户，本人是控权人 / 本人获控权人授权签署本表格 #。

本人承诺，如情况有所改变，以致影响本表格第 1 部所述的个人的税务居民身分，或引致本表格所载的数据不正确，本人会通知汇业证券有限公司，并会在情况发生改变后 30 日内，向汇业证券有限公司提交一份已适当更新的自我证明表格。

本人声明就本人所知所信，本表格内所填报的所有数据和声明均属真实、正确和完备。

Signature 签署 : _____

Client Name 客户姓名 : _____ Date (dd/mm/yy) 日期(日/月/年) : _____

Delete as appropriate 删去不适用者

WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. \$10,000).

警告：根据《税务条例》第 80(2E)条，如任何人在作出自我证明时，在明知一项陈述在要项上属具误导性、虚假或不正确，或罔顾一项陈述是否在要项上属具误导性、虚假或不正确下，作出该项陈述，即属犯罪。一经定罪，可处第 3 级（即\$10,000）罚款。

J. Client's Consent to Use of Personal Data 个人资料使用同意书

Our Company have carefully read, fully understood and agreed to accept and be bound by the Notice and Statement Relating to the Personal Data (Privacy) Ordinance (Cap. 486 of the Laws of Hong Kong) as set out in Part VII of the Client Agreement. In particular, 本公司已仔细阅读，完全理解并同意接受并遵守载于客户协议第七部份有关个人资料(私隐)条例（香港法例第 486 章）的通知及声明，尤其是，

☐ Our Company hereby consent to the use of our Company Information for direct marketing directly related to the opening or continuation of our accounts with DAS and the provision of financial services by DAS to our Company.

本公司同意使用本公司的客户数据作为于汇业证券开立或继续维持账户，及汇业证券向本公司提供金融服务有关的直接促销之用。

☐ Our Company hereby consent to the use of our Company Information for direct marketing by DAS, any of its affiliates or other carefully selected financial, insurance or other service providers of other financial and insurance and/or services not directly related to the opening or continuation of our accounts with DAS and the provision of financial services by DAS to our Company.

本公司同意汇业证券及 / 或其任何集团公司或其他仔细挑选之金融、保险或产品供货商使用本公司的数据作为直接促销与本公司于汇业证券开立或继续维持账户，及汇业证券向本公司提供金融服务无关的其他金融、保险或产品供货商之用。

K. Personal Information Collection Statement under Hong Kong Investor Identification Regime (HKIDR) and Over-the-counter Securities Transactions Reporting Regime (OTCR) 香港投资者标识符制度及场外证券交易汇报制度 - 个人资料收集声明

You (all of the undersigned persons) acknowledge and agree that we Delta Asia Securities Limited, may collect, store, process, use, disclose and transfer personal data relating to you (including your CID and BCAN(s)) as required for us to provide services to you in relation to securities listed or traded on the Stock Exchange of Hong Kong (SEHK) and for complying with the rules and requirements of SEHK and the Securities and Futures Commission (SFC) in effect from time to time. Without limiting the foregoing, this includes -

- (a) disclosing and transferring your personal data (including CID and BCAN(s)) to SEHK and/or the SFC in accordance with the rules and requirements of SEHK and the SFC in effect from time to time;
- (b) allowing SEHK to: (i) collect, store, process and use your personal data (including CID and BCAN(s)) for market surveillance and monitoring purposes and enforcement of the Rules of the Exchange of SEHK; and (ii) disclose and transfer such information to the relevant regulators and law enforcement agencies in Hong Kong (including, but not limited to, the SFC) so as to facilitate the performance of their statutory functions with respect to the Hong Kong financial markets; and (iii) use such information for conducting analysis for the purposes of market oversight; and
- (c) allowing the SFC to: (i) collect, store, process and use your personal data (including CID and BCAN(s)) for the performance of its statutory functions including monitoring, surveillance and enforcement functions with respect to the Hong Kong financial markets; and (ii) disclose and transfer such information to relevant regulators and law enforcement agencies in Hong Kong in accordance with applicable laws or regulatory requirements.

You also agree that despite any subsequent purported withdrawal of consent by you, your personal data may continue to be stored, processed, used, disclosed or transferred for the above purposes after such purported withdrawal of consent.

Failure to provide us with your personal data or consent as described above may mean that we will not, or will no longer be able to, as the case may be, carry out your trading instructions or provide you with securities related services (other than to sell, transfer out or withdraw your existing holdings of securities, if any).

閣下（以下所有簽名人士）明白并同意，我們（匯業證券有限公司）為了向閣下提供與在香港聯合交易所（聯交所）上市或買賣的證券相關的服務，以及為了遵守不時生效的聯交所與證券及期貨事務監察委員會（证监会）的規則和規定，我們可收集、儲存、處理、使用、披露及轉移與閣下有關的個人資料（包括閣下的客戶識別信息及券商客戶編碼）。在不限制以上的內容的前提下，當中包括：

- (a) 根據不時生效的聯交所及证监会規則和規定，向聯交所及／或证监会披露及轉移閣下的個人資料（包括客戶識別信息及券商客戶編碼）；
- (b) 允許聯交所：(i)收集、儲存、處理及使用閣下的個人資料（包括客戶識別信息及券商客戶編碼），以便監察和監管市場及執行《聯交所規則》；(ii)向香港相關監管機構和執法機構（包括但不限於证监会）披露及轉移有關資料，以便他們就香港金融市場履行其法定職能；及(iii)為監察市場目的而使用有關數據進行分析；及
- (c) 允許证监会：(i)收集、儲存、處理及使用閣下的個人資料（包括客戶識別信息及券商客戶編碼），以便其履行法定職能，包括對香港金融市場的監管、監察及執法職能；及(ii)根據適用法例或監管規定向香港相關監管機構和執法機構披露及轉移有關資料。

閣下亦同意，即使閣下其後宣稱撤回同意，我們在閣下宣稱撤回同意后，仍可繼續儲存、處理、使用、披露或轉移閣下的個人資料以作上述用途。

閣下如未能向我們提供個人資料或上述同意，可能意味着我們不會或不能夠再（視情況而定）執行閣下的交易指示或向閣下提供證券相關服務，惟出售、轉出或提取閣下現有的證券持倉（如有）除外。

Acknowledgement and Consent 确认及同意

- ☐ I/We confirm that I/We have read and understood the content of “Personal Information Collection Statement under Hong Kong Investor Identification Regime (HKIDR) and Over-the counter Securities Transactions Reporting Regime (OTCR)” issued by Delta Asia Securities Limited and I/We agree to the Company’s use my/our personal data for the purposes set out in this statement.
本人/吾等确认已阅读并理解致汇业证券有限公司之《香港投资者标识符制度及场外证券交易汇报制度 - 个人资料收集声明》内容及本人/吾等同意致汇业证券有限公司之个人资料用于本声明所述之目的。

L. Client’s Declaration, Acknowledgement and Consent 客户声明、确认及承诺

Application of Account Opening and Information Provided 账户开立申请及数据提供

Our Company represent that the information in this Account Opening Form and relevant Forms is true, complete and correct and that Our Company have not willfully withheld any material fact(s). Our Company request DAS to open a Cash Securities / Margin Securities Account / Futures and Options Account (“the Account”) and agree to all the terms of the Client Agreement and to abide by the Client Agreement (including the General Terms and Conditions of the Client Agreement), the rules and regulations of Securities and Futures Ordinance, Hong Kong Exchange and Clearing Limited or any other regulatory body(ies) as amended from time to time governing the transactions in the Account. DAS is entitled to rely fully on such information and representations for all purposes, unless it receives notice in writing of any change. DAS is authorized at any time to contact anyone, including our banks, brokers or any credit agency for the purpose of verifying the information provided on this Account Opening Form. Our Company also understand that DAS will rely on the above information of Investment Experience and Product Knowledge provided to assess whether Our Company have acquired knowledge of derivative products, in order to comply with relevant requirements of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission.

本公司等茲聲明在開戶申請書及相关表格所提供之數據全部為真實、完整及正確，本公司等并未刻意隱瞞任何重要事實。本公司等向匯業證券申請開立現金證券賬戶／保證金證券賬戶／期貨及指數期權賬戶（“該賬戶”）和同意遵守客戶協議（包括客戶協議書之一般條款）的所有條款并同意遵守證券及期貨條例、香港交易所有限公司及其他監管機構不時修定以規管於該賬戶進行的交易之條例及規則。除非匯業證券接到更改有關本開戶申請書內容的書面通知，否則匯業證券有權完全依賴此等資料及聲明作一切用途。匯業證券獲授權可隨時就核對本數據事宜，與任何人包括本公司等之銀行、經紀或任何信用機構進行諮詢。本公司等亦明白匯業證券根據上述投資經驗及對產品認識內的數據界定本公司等是否擁有對衍生產品之認識，以符合證券及期貨事務監察委員會持牌人或註冊人操守準則之有關要求。

Risk of E-Statement Service 电子结算单的风险

Our Company hereby acknowledge that Access to the internet or other electronic medium may be limited or unavailable during periods of peak demand, market volatility, systems upgrades or maintenance or for other reasons. Any communication through the internet or other electronic medium may be subject to interruption, transmission blackout, and delayed transmission due to unpredictable traffic congestion and other reasons beyond the licensed or registered person's control. Internet is, due to technical limitation, an inherently unreliable medium of communication. As a result of such unreliability, there may be delays in the transmission and receipt of information. The statements may not be sent to the designed email address at all. Moreover, communications and personal data may be accessed by unauthorized third parties, and there are risks of misunderstanding or error in any communication and that such risks shall be absolutely borne by our company.

本公司谨此承认互联网及其他电子媒介的接达可能因为高峰期、市场波动、系统升级或维修或因其他原因而受到限制或未能提供。透过互联网及其他电子媒介进行的任何通信可能会受到干扰、出现传输中断,及由于未能预测的互联网通信量或因其他不受持牌人或注册人控制的原因而导致传输延误。基于技术所限,互联网本身为不可靠的通信媒介。因此,可能会出现信息传输及接收之延误,以及结算单未必能传送到指定的电邮账号。此外,未经授权第三方可能获得通讯及个人资料,及本公司须要完全承担任何误解通信或通信错误之风险。

Additional Statement (For Futures Trading Account)**附加声明 (只适用于期货账户)**

I / We agree to read the reporting requirements and the responsibilities of reporting set out in the Futures (Contract Limits and Reportable Position) Rules and related guidance notes issued by the Securities and Futures Commission. I / We agree to make the relevant notification and fulfil the responsibilities as required by the Futures (Contract Limits and Reportable Position) Rules and SFC and HKFE. I / We understand that I / we may also directly access all relevant information at the Web-site of Securities and Futures Commission or at the Web-site of HKEx.

本人 / 吾等同意细阅列于期货(合约限量及须申报的持仓量)规则及由证监会发出的有关指引的申报规则及责任。本人 / 吾等同意依据期货(合约限量及须申报的持仓量)规则、证监会及香港期货交易所之要求作出申报及完成有关责任。本人 / 吾等明白所有有关数据可以由证监会及香港交易所的网页上获得。

M. Signature of Account Holder 账户持有人签署**Client Signature & Company Chop 客户签署及公司印章**

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Name of Client 客户名称

Date 日期

N. Declaration by Licensed Representative 持牌代表声明

I, _____ (name of representative) have fully explained and provided the contents of the Agreement, including but not limited to this Account Opening Form, the General Terms and Conditions, the Additional Terms and Conditions, the Disclaimers, the Data Privacy Policy and the Risk Disclosure Statement to _____ (name of client) in a language which he/she/they understand(s) and have invited the client to read, ask questions and take independent advice if the client wishes.

本人 _____ (持牌代表姓名), 经以他/他们明白的语言, 向 _____ (客户姓名), 邀请其阅读, 提出问题及征求独立意见 (如客户有此意愿), 并已全部清楚解释协议书, 当中包括, 但不限于本开户表、一般条款、附加条款、免责声明、私隐政策及风险披露声明书内的内容。

Signed by Licensed Representative 持牌代表签署	SFC CE No. 证监会中央编号	Date 日期
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Note 注意:

- The terms in English version, as opposed to the Chinese translation, shall be deemed to be conclusive and definitive.
本开户表之英文本 (相对中文译本而言) 为确实及有最终效力。
- Any deletion or amendment must be signed by all account holders.
任何删除或修改, 必须由客户签名作实。

For Office Use Only 只供本公司专用				
DAS hereby appoints the following Account Executive(s) being licensed by Securities and Futures Commission or such other licensed person as from time to time it may permit and notify the Client in writing, to be primarily responsible for the affairs of the Client in respect of the Client's account(s) with DAS:				
Name of Account Executive / Relationship Manager 经纪/客户经理名称				
	CE No. 中央编号		Contact No. 联络电话	
Document checklist 文件查核清单 :				
☐ Copy of Certificate of Incorporation* 公司注册证书副本* ☐ Copy of Business Registration Certificate* (if any) 公司商业登记证副本* (如有) ☐ Copy of Memorandum & Articles of Association 公司章程大纲及细则副本* ☐ Copy of Register of Directors* 公司董事记录册副本* ☐ Board Resolution 董事决议案 ☐ Copy of Audited Financial Report 审计财务报表副本* ☐ Copy of Client Standing Settlement Bank Account Statement 客户常设交收银行账户结单副本		☐ Deed of Guarantee (if applicable) 担保书 (如适用) ☐ ID/Passport copies and Address Proof of all Shareholders, Directors, Authorized Persons & Guarantor* 所有股东、董事、获授权者及担保人的身分证 / 护照副本及地址证明* ☐ Business/Registration Address Proof (within 3 months) 营业 / 注册地址证明 (三个月内) ☐ Copy of Certificate of Incumbency (Overseas Company) (within 6 months)* 职权证明书副本* (海外公司) (六个月内) ☐ Copy of Register of Shareholder and Director* (Overseas Company) 股东注册证明文件副本及公司董事记录册* (海外公司) ☐ Organization Chart 公司架构图 ☐ W-8BEN-E Form / W-9 Form (if applicable) W-8BEN-E 表格或 W-9 表格 (如适用)		
Remarks: * The related identify documents shall be certified by a JP (Justice of Peace), or a professional person such as certified public accountant, chartered secretary, lawyer or notary public. 备注: *有关身份证明文件的见证, 须由太平绅士、特许秘书、执业会计师、律师或公证人加以验证				
Client Information & Document checked by 客户数据及文件核对				
Name of staff & signature 职员名称及签署 (CS)	Name:	Signature:	Date 日期	
Name of staff & signature 职员名称及签署 (LCD)	Name:	Signature:	Date 日期	
Name of staff & signature 职员名称及签署 (OP)	Name:	Signature:	Date 日期	
Basic Commission 基本佣金 (如不填写, 默认为公司基本收费)				
HK Market - Brokerage (%) 港币佣金 / 最低佣金	Phone 电话:	Internet 网上:		
US Market - Brokerage (%) 美元佣金 / 最低佣金	Phone 电话:	Internet 网上:		
Funds / Bonds - Brokerage (%) 佣金% / 最低佣金				
ELN - Brokerage (%) 佣金% / 最低佣金				
Futures Commission 期货佣金	Stock Options Commission 股票期权佣金			
Remark 备注				
ACKNOWLEDGED AND ACCEPTED BY AN AUTHORIZED SIGNATORY(IES) FOR AND ON BEHALF OF DELTA ASIA SECURITIES LIMITED 经由汇业证券有限公司之授权代表确认及接纳				
DAS Authorized Signature(s) 汇业证券授权代表签署	Name of Authorized Person 授权代表姓名		Date 日期	