

# 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 客戶號碼: \_\_\_\_\_  
Account Opening Date  
開戶日期: \_\_\_\_\_  
A.E. Code 經紀編號: \_\_\_\_\_

This form shall be read with Terms and Conditions of the Client Agreement.  
此表格須與客戶協議內的條款及條件一併閱讀。

\*Please delete whichever is inapplicable 請刪去不適用者

\*Please tick the appropriate box 請在適當空格加✓

ACCOUNT OPENING FORM 開戶表格  
Corporate 公司

A. Account Type 賬戶類別

Account Type 賬戶種類		Trading Platform 交易方式
Securities 證券	<input type="checkbox"/> Cash Securities Account 證券現金賬戶	<input type="checkbox"/> Telephone (Manual) 電話人手落盤
	<input type="checkbox"/> Margin Securities Account 證券保證金賬戶	<input type="checkbox"/> Electronic 電子交易
	<input type="checkbox"/> Stock Options Account 股票期權賬戶	
Futures 期貨	<input type="checkbox"/> Futures & Index Options Account 期貨及指數期權	<input type="checkbox"/> Telephone (Manual) 電話人手落盤
		<input type="checkbox"/> Electronic 電子交易

B. Client Information 客戶資料

B.1 Corporate Information 公司資料

Entity of the Client 客戶身份	<input type="checkbox"/> Listed Company 上市公司	<input type="checkbox"/> Sole Proprietorship 獨資企業
	<input type="checkbox"/> Unlisted Limited Company 非上市有限公司	<input type="checkbox"/> Partnership 合夥企業
	<input type="checkbox"/> Overseas Company 海外公司	<input type="checkbox"/> Trust Company 信託公司
	<input type="checkbox"/> Unlimited Company 無限公司	<input type="checkbox"/> Others 其他 _____

English Name  
英文名稱: \_\_\_\_\_  
Chinese Name  
中文名稱: \_\_\_\_\_  
Country of Incorporation  
註冊國家: \_\_\_\_\_  
Date of Incorporation  
公司註冊日期: \_\_\_\_\_  
Certificate of Incorporation No.  
公司註冊證號碼: \_\_\_\_\_  
Business Registration Cert. No.  
商業登記證號碼: \_\_\_\_\_  
Office Tel No.  
公司電話號碼: \_\_\_\_\_  
Facsimile No.  
傳真號碼: \_\_\_\_\_  
Nature of Business  
業務性質: \_\_\_\_\_  
E-mail Address  
電郵地址: \_\_\_\_\_  
Address of Registration  
註冊辦事處地址: \_\_\_\_\_  
Business Address  
業務地址: \_\_\_\_\_

B.2 Financial Background 財務資料背景

Paid-up Share Capital (HKD)  
繳足股本(港元): \_\_\_\_\_  
Authorized Share Capital (HKD)  
註冊資本(港元): \_\_\_\_\_  
Net Asset Value (HKD)  
資產淨值(港元): \_\_\_\_\_  
Latest Annual Profit (HKD)  
最近年度利潤(港元): \_\_\_\_\_

B.3 Corporate Structure 公司結構

(i) Particular of Major Shareholders (Shareholding of 25% or more) (not applicable to public listed company)  
主要股東資料細節 (持有百分之二十五或以上股權) (上市公司不用填寫)

Name 姓名	ID / Passport No. 身份證/護照號碼	Residential Address 住址	Ratio (%) 百分率
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

(ii) Particular of Directors of the Company 董事資料細節		
Name 姓名	ID / Passport No. 身份證/護照號碼	Residential Address 住址
_____	_____	_____
_____	_____	_____

**B.4 Authorized Person 獲授權人士**

All instructions will follow the Client's Board Resolution.  
所有指示以客戶的董事決議為準。

**C. Ultimate Beneficial Owner(s) of the Account (not applicable to public Listed Company)  
賬戶最終權益擁有人(不適用於上市公司)**

Name of Sole Proprietor / Partner / Ultimate Shareholder  
獨資企業/合夥企業/最終股東名稱

Name 姓名	ID / Passport No. 身份證/護照號碼	Residential Address 住址	% of Interest 權益百分比
_____	_____	_____	_____
_____	_____	_____	_____

**D. Client Standing Settlement Bank Account 客戶常設交收銀行賬戶(Designated Bank Account 指定銀行戶口)**

	Account Type 賬戶類別	Bank Name 銀行名稱	Bank Account No. 銀行賬戶號碼	Currency 貨幣
1)*				HKD 港幣
2)				
3)				

\* Default (1) to First Standing Settlement Bank Account (HKD) 設定(1)為首要常設交收銀行賬戶(港幣)

**E. Method of Correspondence 通訊方式**

Please select one of the following method of communication 請選擇以下其中一項通訊方式:

By Mail 郵遞 - Business Address 業務地址 (P.O. Boxes are not accepted 郵政信箱恕不接受) \*

By E-Mail 電郵

\* Please refer to Fees and Charges 請參閱服務收費簡介

**F. Investment Profile 投資概況**

Investment Objectives 投資目標:

Dividend Income 股息收入

Hedging 對沖

Capital Gain 資本增長

Speculative 投機

Others (Please specify) 其他 (請說明): \_\_\_\_\_

Experience in Products 曾投資產品:

HK Listed Stocks 香港上市股票

Overseas Listed Stocks 海外上市股票

HK Futures & Options 香港期貨及期權

Overseas Futures & Options 海外期貨及期權

Mutual Funds or Unit Trust 互惠基金或單位信託

Bonds 債券

Commodities 商品

None 沒有

Others (Please specify) 其他(請說明): \_\_\_\_\_

**Year of Experience in Investment**

投資經驗年期:

- |   |                                      |                                      |                                       |                                      |
|---|--------------------------------------|--------------------------------------|---------------------------------------|--------------------------------------|
| <input type="checkbox"/> Securities Trading 證券交易  | <input type="checkbox"/> <1year 少於一年 | <input type="checkbox"/> 1-5yrs 一至五年 | <input type="checkbox"/> 6-10yrs 六至十年 | <input type="checkbox"/> >10yrs 多於十年 |
| <input type="checkbox"/> Bonds 債券                 | <input type="checkbox"/> <1year 少於一年 | <input type="checkbox"/> 1-5yrs 一至五年 | <input type="checkbox"/> 6-10yrs 六至十年 | <input type="checkbox"/> >10yrs 多於十年 |
| <input type="checkbox"/> CBBC 牛熊證                 | <input type="checkbox"/> <1year 少於一年 | <input type="checkbox"/> 1-5yrs 一至五年 | <input type="checkbox"/> 6-10yrs 六至十年 | <input type="checkbox"/> >10yrs 多於十年 |
| <input type="checkbox"/> Derivative Warrants 衍生權證 | <input type="checkbox"/> <1year 少於一年 | <input type="checkbox"/> 1-5yrs 一至五年 | <input type="checkbox"/> 6-10yrs 六至十年 | <input type="checkbox"/> >10yrs 多於十年 |
| <input type="checkbox"/> Rights 供股權               | <input type="checkbox"/> <1year 少於一年 | <input type="checkbox"/> 1-5yrs 一至五年 | <input type="checkbox"/> 6-10yrs 六至十年 | <input type="checkbox"/> >10yrs 多於十年 |
| <input type="checkbox"/> ETF 交易所買賣基金              | <input type="checkbox"/> <1year 少於一年 | <input type="checkbox"/> 1-5yrs 一至五年 | <input type="checkbox"/> 6-10yrs 六至十年 | <input type="checkbox"/> >10yrs 多於十年 |
| <input type="checkbox"/> Futures/Options 期貨/期權    | <input type="checkbox"/> <1year 少於一年 | <input type="checkbox"/> 1-5yrs 一至五年 | <input type="checkbox"/> 6-10yrs 六至十年 | <input type="checkbox"/> >10yrs 多於十年 |
| <input type="checkbox"/> Stock Options 股票期權       | <input type="checkbox"/> <1year 少於一年 | <input type="checkbox"/> 1-5yrs 一至五年 | <input type="checkbox"/> 6-10yrs 六至十年 | <input type="checkbox"/> >10yrs 多於十年 |
| <input type="checkbox"/> Convertible Bonds 可換股債券  | <input type="checkbox"/> <1year 少於一年 | <input type="checkbox"/> 1-5yrs 一至五年 | <input type="checkbox"/> 6-10yrs 六至十年 | <input type="checkbox"/> >10yrs 多於十年 |
| <input type="checkbox"/> Commodities 商品           | <input type="checkbox"/> <1year 少於一年 | <input type="checkbox"/> 1-5yrs 一至五年 | <input type="checkbox"/> 6-10yrs 六至十年 | <input type="checkbox"/> >10yrs 多於十年 |
| <input type="checkbox"/> Others 其他: _____         | <input type="checkbox"/> <1year 少於一年 | <input type="checkbox"/> 1-5yrs 一至五年 | <input type="checkbox"/> 6-10yrs 六至十年 | <input type="checkbox"/> >10yrs 多於十年 |
| <input type="checkbox"/> None 沒有                  |                                      |                                      |                                       |                                      |

**F.1 Knowledge of Structured or Derivative Products 對結構性或衍生產品知識**

(Refer to the following statements and tick the appropriate box(es) below ✓ 按以下選擇, 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: 代表公司做決定的人士, 最少一位了解衍生產品的性質和風險:
- Undergoing relevant training or attending course in 已接受有關的培訓或課程。
 

<input type="checkbox"/> Regulatory Authority 監管機構	<input type="checkbox"/> Exchange 交易所	<input type="checkbox"/> Financial Institution 金融機構	<input type="checkbox"/> Education Institution 進修學院	<input type="checkbox"/> Tertiary Institution 大專院校
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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. 於經紀公司或銀行、基金或資產管理公司、監管機構或交易所等金融機構擁有有關的工作經驗。
 

<input type="checkbox"/> Regulated Licensed 受監管持牌人士	<input type="checkbox"/> Derivatives Related Back Office 與衍生工具相關後勤	<input type="checkbox"/> Management 管理層
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  - Executing five or more transactions in derivative products (whether traded on an exchange or not) within the past three years.
 

於過去三年內進行了五次或以上有關衍生產品之交易。(不論是否於交易所進行交易)
- The person(s) responsible for making investment decisions have NO knowledge of derivative products. 代表公司做投資決定的人士並未有衍生產品之認識。

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. 如客戶沒有以上任何一項結構性及/或衍生工具產品的經驗及認識, 客戶將被視作沒有結構性及/或衍生工具產品認識。在客戶買賣結構性及/或衍生工具產品之前, 客戶就此確認已閱讀及理解包括於客戶協議中有關在交易所買賣的衍生產品的風險披露聲明, 並同意承擔有關風險。

- Our company agree to bear the risks involved. 本公司同意承擔有關風險。

**F.2 Investment Profile Questionnaire 投資取向問卷**

1.	What is the longest investment period which your company would be willing to commit? 如貴公司有意投資, 可接受的最長投資期是多久? <input type="checkbox"/> A. Less than 1 year 少於 1 年 <input type="checkbox"/> B. 1 - 3 years 1 至 3 年 <input type="checkbox"/> C. 4 - 7 years 4 至 7 年 <input type="checkbox"/> D. 8 - 10 years 8 至 10 年 <input type="checkbox"/> E. Over 10 years 多於 10 年	[1] [2] [3] [4] [5]
2.	Which of the following statements best describes your company's investment goal? 哪一個講法最能表達貴公司的投資目標? <input type="checkbox"/> A. We want to preserve capital even if it means little to no gains 要求保本, 即使回報極低甚至沒有獲利。 <input type="checkbox"/> B. We are looking for a stable stream of income that is higher than what bank deposits can provide. 希望有穩定的投資回報, 獲利較銀行存款利息高。 <input type="checkbox"/> C. We are looking for a combination of regular income as well as some capital growth. 要求有經常性收入, 而且資本也有所增長。 <input type="checkbox"/> 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. 雖然價格有所波動, 但如未到任何止蝕位及視乎該投資項目基本面的變化, 仍會維持投資。 <input type="checkbox"/> E. We are looking for high capital growth. 要求高額の資本增長。	[1] [2] [3] [4] [5]

3.	<p>Which of the following statements could best describe your attitude towards investment risk? 以下哪一段陳述最能反映你對投資風險的態度?</p> <p><input type="checkbox"/> A. I am not willing to accept any risk. 我不願意承受任何風險。</p> <p><input type="checkbox"/> B. I am trying to avoid risks but minor ones are still acceptable. 我會盡量回避風險，但可承受較低的風險。</p> <p><input type="checkbox"/> C. I am trying to strike a balance between risks and returns. 我會平衡風險與回報。</p> <p><input type="checkbox"/> D. I am willing to accept more risks, as I aim for more returns. 我願意承受較高的風險，以換取更高回報。</p> <p><input type="checkbox"/> E. I never consider risks, as I aim to maximize returns. 我不會考慮風險，務求得到最高回報。</p>	[1] [2] [3] [4] [5]
4.	<p>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? 請問貴公司在投資組合中風險最高的投資價值下跌之時會做何反應貴公司可以接受以下哪個年度的價格波幅?</p> <p><input type="checkbox"/> A. Sell that investment immediately to avoid further losses, even if the drop in value is small. 即使價值只是輕微下跌，也立刻沽出投資以減低損失。</p> <p><input type="checkbox"/> B. Although any drop in value would make your company feel quite uneasy, only sell if the drop in value is significant. 雖然價值下跌貴公司感到好有壓力，但也只會在價值大幅下跌時沽出。</p> <p><input type="checkbox"/> C. Sell some of the investment to decrease exposure but otherwise maintain the investment subject to any change in the fundamentals of the investment. 沽出部份投資產品以減低損失，但視乎該投資項目基本面的變化，仍會維持投資。</p> <p><input type="checkbox"/> 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. 雖然價格有所波動，但如未到任何止蝕位及視乎該投資項目基本面的變化，仍會維持投資。</p> <p><input type="checkbox"/> E. Maintain the investment no matter how large the losses and only sell if there was a change in the fundamentals of that investment. 除非該投資項目基本面有變化，否則不論虧損多大，仍會維持投資。</p>	[1] [2] [3] [4] [5]
5.	<p>Which of the following annual price fluctuations would be acceptable to your company? 貴公司可以接受以下哪個年度價格波幅?</p> <p><input type="checkbox"/> A. No price fluctuation 沒有價格波幅</p> <p><input type="checkbox"/> B. Price fluctuates between -5% to +5% 價格波幅介乎-5%至+5%</p> <p><input type="checkbox"/> C. Price fluctuates between -10% to +10% 價格波幅介乎-10%至+10%</p> <p><input type="checkbox"/> D. Price fluctuates between -15% to +15% 價格波幅介乎-15%至+15%</p> <p><input type="checkbox"/> E. Price fluctuates between -20% to +20% 價格波幅介乎-20%至+20%</p>	[1] [2] [3] [4] [5]
6.	<p>What portion of your company's total net wealth (excluding the value of your self-use properties) is available for investment each month? 貴公司的總資產淨值整體收入(不計算自用物業的價值)有多少可用於投資?</p> <p><input type="checkbox"/> A. Less than 10% 少於 10%</p> <p><input type="checkbox"/> B. 10% - 29%</p> <p><input type="checkbox"/> C. 30% - 49%</p> <p><input type="checkbox"/> D. 50% - 69%</p> <p><input type="checkbox"/> E. 70% or above 多於 70%</p>	[1] [2] [3] [4] [5]
7.	<p>What is your company's expected return for your investment portfolio as a whole? 貴公司期望的投資組合整體回報率是多少?</p> <p><input type="checkbox"/> A. The same as the inflation rate 與通脹率一樣</p> <p><input type="checkbox"/> B. Greater than and up to 2% above the inflation rate 高於通脹率至 2%</p> <p><input type="checkbox"/> C. Greater than 2% and up to 5% above the inflation rate 高於通脹率 2% 以上至 5%</p> <p><input type="checkbox"/> D. Greater than 5% and up to 8% above the inflation rate 高於通脹率 5% 以上 至 8%</p> <p><input type="checkbox"/> E. Greater than 8% above the inflation rate 高於通脹率 8% 以上</p>	[1] [2] [3] [4] [5]
<p><b>The total source of your company overall risk tolerance level is</b> 貴公司的整體風險承受能力的總得分是</p>		
<p><b>Overall Risk Tolerance Level 整體風險承受能力</b></p>		
<input type="checkbox"/>	<p><b>Investor profile 1 - Safety Oriented 投資者類型 1 - 謹慎型 (≤7)</b> <b>Risk tolerance level 風險承受程度:</b> 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. 貴公司傾向於價格變動較少，並在一般情況下可在少於一星期內出售或承諾於一年內取回投資本金的投資產品。 <b>Investment objectives 投資目標:</b> This investor rating is suitable for investors that aim to protect capital and accept returns in line with savings accounts. 此投資類型適合旨在保障資金，並願意接受與儲蓄賬戶相約回報的投資者。</p>	
<input type="checkbox"/>	<p><b>Investor profile 2 - Conservative 投資者類型 2 - 保守型 (8-14)</b> <b>Risk tolerance level 風險承受程度:</b> 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. 貴公司可接受您的投資出現有限度的價格不利變動，並通常可在一星期內出售及以接近平均市價出售的投資產品。 <b>Investment objectives 投資目標:</b> This investor rating is suitable for investors that aim primarily for regular income returns along with some capital appreciation as a secondary option. 此投資類型適合旨在追求經常性收入，及同時獲取一些資本增值的投資者。</p>	

<input type="checkbox"/>	<p><b>Investor profile 3 - Moderate 投資者類型 3 - 平衡型 (15-21)</b>  <b>Risk tolerance level 風險承受程度:</b>          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. 貴公司可接受您的投資出現適度的價格不利變動，並通常可在一星期內出售及以接近平均市價出售的投資產品。  <b>Investment objectives 投資目標:</b>          This investor rating is suitable for investors that aim for both regular income returns and capital appreciation. 此投資類型適合旨在追求經常性收入及資本增值的投資者。</p>
<input type="checkbox"/>	<p><b>Investor profile 4 - Aggressive 投資者類型 4 - 進取型 (22-28)</b>  <b>Risk tolerance level 風險承受程度:</b>          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. 貴公司可接受有大幅度價格不利變動，可能有少許風險會喪失全部價值，並可能難以出售或有機會只可接低於近期平均市價出售的投資產品。  <b>Investment objectives 投資目標:</b>          This investor rating is suitable for investors that aim primarily for capital appreciation and no or little regular income returns. 此投資類型適合旨在追求資本增值，而非經常性收入的投資者。</p>
<input type="checkbox"/>	<p><b>Investor profile 5 - Specialised Investing 投資者類型 5 - 專業性投資型 (29-35)</b>  <b>Risk tolerance level 風險承受程度:</b>          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. 貴公司可接受可能有高風險會喪失全部價值或有關損失會超出你原本的投資金額、可能在任何特定時間內價值不明確，而非非常困難或沒可能在一段較長的時間內出售的投資產品。  <b>Investment objectives 投資目標:</b>          This investor rating is suitable for investors that seek very aggressive capital appreciation over time with investments that may not be liquidated before maturity. 此投資類型適合追求可能不容許於到期日前變現，並非常進取的長線資本增值的投資者。</p>
<p><b>Client's Declaration 客戶聲明</b>          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. 本公司謹此聲明並同意上述所有資料均是完整、真實及準確，並且是盡本公司所知而作答。本公司確認收到「投資產品 – 風險承受能力問卷」的副本。  <input type="checkbox"/> Our company agree and accept the above assessment of my investment profile. 本公司同意並接受上述對本公司的投資類型的評估。  <input type="checkbox"/> Our company disagree with the above assessment of my investment profile and our company investment profile should be: (Please explain in detail.) 本公司不同意上述對本公司的投資類型的評估，且認為本公司的投資類型應為：(請詳細解釋)</p>	

G. Disclosure of Information 資料披露	
1.	<p>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?            賬戶之任何董事、主要股東或最終實益擁有人，或其配偶、伴侶、子女或父母，或其子女的配偶或伴侶，或與其關係密切的人，是否擔任或曾擔任重要公職，包括國家元首、政府首長、司法或軍事官員、國有企業高級行政人員或重要政黨幹事？  <input type="checkbox"/> No 不是  <input type="checkbox"/> Yes 是, Please specify 請註明: _____</p>
2.	<p>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?            貴公司、其任何一位股東／董事、授權人士、此賬戶最終權益擁有人及／或就此賬戶進行交易的最終負責發出指示人仕，是否香港證券及期貨事務監察委員會的持牌或註冊人仕，或任何持牌或註冊人仕之董事或職員？  <input type="checkbox"/> No 不是  <input type="checkbox"/> Yes 是, Name of the Licensed or Registered Person(s) 持牌或註冊人仕名稱: _____</p>
3.	<p>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?            貴公司、其任何一位股東／董事、授權人仕、作為此賬戶最終權益擁有人及／或就此賬戶進行交易的最終負責發出指示人仕，與滙業證券及／或其聯屬公司之董事或職員是否有親屬關係？  <input type="checkbox"/> No 沒有  <input type="checkbox"/> Yes 有, Please specify 請註明: Name of Director/Employee 董事或職員姓名 Relationship 關係            _____</p>
4.	<p>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?</p>

貴公司是否在一間於滙業證券及／或其聯屬公司持有保證金賬戶的公司中擁有百分之三十五或以上的股權及／或表決權及／或，貴公司是否與一間於滙業證券及／或其聯屬公司持有保證金賬戶的公司同屬一個集團及／或貴公司之任何一位股東／董事、授權人仕、作為此賬戶最終權益擁有人，及／或此賬戶進行交易的最終負責發出指示人仕（“有關人仕”），及／或任何貴公司相關連人仕，於滙業證券及／或其聯屬公司持有保證金賬戶？

No 不是

Yes 是, Please specify 請註明: \_\_\_\_\_

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

貴公司現時是否持有滙業證券及／或其聯屬公司之其他賬戶？

No 不是

Yes, please provide details 是，請提供詳細資料:

Account Name 賬戶名稱	
Account Type 賬戶類別	
Account No. 賬戶號碼	

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

貴公司是否在美國註冊成立或美國稅務目的產生的收入？

No. 不是

Yes, please fill in Form W-9 是，請填寫 W-9 表格

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

本公司的具影響力股東(持有 10%或以上股權)是否美國公民/居民？

No. 不是

Yes, please fill in Form W-9 是，請填寫 W-9 表格

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

本公司的任何一位股東是否美國公民/居民？

No. 不是

Yes, please fill in Form W-9 是，請填寫 W-9 表格

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

此賬戶的受益人是否美國公民/居民？

No. 不是

Yes, please fill in Form W-9 是，請填寫 W-9 表格

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

此賬戶的獲授權人士是否美國公民/居民？

No. 不是

Yes, please fill in Form W-9 是，請填寫 W-9 表格

## H. Self-Certification 自我證明 - 實體 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.

這是由賬戶持有人向申報財務機構提供的自我證明，以作自動交換財務賬戶資料用途。申報財務機構可把收集所得的資料交給稅務局，稅務局會將資料轉交到另一稅務管轄區的稅務當局。

✧ An account holder should report all changes in his/her tax residency status to Delta Asia.

賬戶持有人應向滙業申報其稅務居民身份的所有變化。

### (i) Entity Type 實體類別

Tick one of the appropriate boxes and provide the relevant information. 在其中一個適當的方格內加上 號，並提供有關資料。

Financial Institution 財務機構	<input type="checkbox"/> Custodial Institution, Depository Institution or Specified Insurance Company 託管機構、存款機構或指明保險公司 <input type="checkbox"/> 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 投資實體，但不包括由另一財務機構管理（例如：擁有酌情權管理投資實體的資產）並位於非參與稅務管轄區的投資實體
Active NFE 主動非財務實體	<input type="checkbox"/> NFE the stock of which is regularly traded on _____, which is an established securities market 該非財務實體的股票經常在 _____（一個具規模證券市場）進行買賣 <input type="checkbox"/> Related entity of _____, the stock of which is regularly traded on _____, which is an established securities market 的有關連實體，該有關連實體的股票經常在 _____（一個具規模證券市場）進行買賣 <input type="checkbox"/> NFE is a governmental entity, an international organization, a central bank, or an entity wholly owned by one or more of the foregoing entities 政府實體、國際組織、中央銀行或由前述的實體全權擁有的其他實體 <input type="checkbox"/> Active NFE other than the above (Please specify _____) 除上述以外的主動非財務實體（請說明 _____）

Passive NFE 被動非財務實體	<input type="checkbox"/> Investment entity that is managed by another financial institution and located in a non-participating jurisdiction 位於非參與稅務管轄區並由另一財務機構管理的投資實體 <input type="checkbox"/> NFE that is not an active NFE 不屬主動非財務實體的非財務實體
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**(ii) Controlling Persons 控權人**

(Complete this part if the entity account holder is a passive NFE 如實體賬戶持有人是被動非財務實體，填寫此部)

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.

就賬戶持有人，填寫所有控權人的姓名在列表內。就法人實體，如行使控制權的並非自然人，控權人會是該法人實體的高級管理人員。每名控權人須分別填寫一份 IR1457 表格（自我證明表格 – 控權人）。

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

**(iii) Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent (“TIN”) 留司法管轄區及稅務編號或具有等同功能的識辨編號（以下簡稱「稅務編號」）**

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.

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

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Business Registration Number.

如賬戶持有人是香港稅務居民，稅務編號是其香港商業登記號碼。

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.

如果賬戶持有人並非任何稅務管轄區的稅務居民（例如：它是財政透明實體），填寫實際管理機構所在的稅務管轄區。

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

如沒有提供稅務編號，必須填寫合適的理由：

Reason 理由 A - The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.

賬戶持有人的居留司法管轄區並沒有向其居民發出稅務編號。

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.

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

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.

賬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賬戶持有人披露稅務編號。

Jurisdiction of Residence 居留司法管轄區	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 account holder is unable to obtain a TIN if you have selected Reason B 如選取理由 B，解釋賬戶持有人不能取得稅務編號的原因
(1)			
(2)			
(3)			
(4)			
(5)			

**Declarations and Signature 聲明及簽署**

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

本人證明，就與本表格所有相關的賬戶，本人獲賬戶持有人授權簽署本表格。

本人承諾，如情況有所改變，以致影響本表格第 1 部所述的實體的稅務居民身分，或引致本表格所載的資料不正確，本人會通知滙業證券有限公司，並會在情況發生改變後 30 日內，向滙業證券有限公司提交一份已適當更新的自我證明表格。

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

Signature 簽署：\_\_\_\_\_

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

## I. Self-Certification 自我證明 - Controlling Person 控權人

### 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.  
這是由賬戶持有人向申報財務機構提供的自我證明，以作自動交換財務賬戶資料用途。申報財務機構可把收集所得的資料交給稅務局，稅務局會將資料轉交到另一稅務管轄區的稅務當局。
- ✧ An account holder should report all changes in his/her tax residency status to the Delta Asia.  
賬戶持有人應向滙業申報其稅務居民身份的所有變化。

### (i) Identification of Controlling Person 控權人的身分識辨資料

Name 姓名	
Identity Card / Passport No 身份 證或護照號碼	
Current Residence Address 現時住址	
Date of Birth (dd/mm/yyyy) 出生日期	
Place of Birth (Not compulsory) 出生地點 (可不填寫)	

### (ii) The Entity Account Holder(s) of which you are a controlling person 你作為控權人的實體賬戶持有人

Enter the name of the entity account holder of which you are a controlling person. 填寫你作為控權人的實體賬戶持有人的名稱。

#### Name of the Entity Account Holder 實體賬戶持有人的名稱

(1)

(2)

(3)

### (iii) Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent (“TIN”) 留司法管轄區及稅務編號或具有等同功能的識辨編號 (以下簡稱「稅務編號」)

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.

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

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

如賬戶持有者是香港稅務居民，稅務編號是其香港身份證號碼。

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

如沒有提供稅務編號，必須填寫合適的理由：

Reason 理由 A - The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.  
賬戶持有者的居留司法管轄區並沒有向其居民發出稅務編號。

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.

賬戶持有者不能取得稅務編號。如選取這一理由，解釋賬戶持有者不能取得稅務編號的原因。

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.

賬戶持有者毋須提供稅務編號。居留司法管轄區的主管機關不需要賬戶持有者披露稅務編號。

Jurisdiction of Residence 居留司法管轄區	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 account holder is unable to obtain a TIN if you have selected Reason B 如選取理由 B，解釋賬戶持有者不能取得稅務編號的原因
(1)			
(2)			
(3)			
(4)			
(5)			

#### (iv) Type of Controlling Person 控權人類別

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

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

Type of Entity 實體類別	Type of Controlling Person 控權人類別	Entity 實體 (1)	Entity 實體 (2)	Entity 實體 (3)
Legal Person 法人	Individual who has a controlling ownership interest (i.e. not less than 25% of issued share capital) 擁有控制股權的個人（即擁有不少於百分之二十五的已發行股本）	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual who exercises control/is entitled to exercise control through other means (i.e. not less than 25% of voting rights) 以其他途徑行使控制權或有權行使控制權的個人（即擁有不少於百分之二十五的表決權）	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual who holds the position of senior managing official/ exercises ultimate control over the management of the entity 擔任該實體的高級管理人員/對該實體的管理行使最終控制權的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Trust 信託	Settlor 財產授予人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Trustee 受託人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Protector 保護人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Beneficiary or member of the class of beneficiaries 受益人或某類別受益人的成員	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Other (e.g. individual who exercises control over another entity being the settlor/trustee/protector/beneficiary) 其他（例如：如財產授予人/受託人/保護人/受益人為另一實體，對該實體行使控制權的個人）	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Legal Arrangement other than Trust 除信託以外的法律安排	Individual in a position equivalent/similar to settlor 處於相等/相類於財產授予人位置的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual in a position equivalent/similar to trustee 處於相等/相類於受託人位置的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual in a position equivalent/similar to protector 處於相等/相類於保護人位置的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

	Individual in a position equivalent/similar to beneficiary or member of the class of beneficiaries 處於相等/相類於受益人或某類別受益人的成員位置的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Other (e.g. individual who exercises control over another entity being equivalent/similar to settlor/trustee/protector/beneficiary) 其他 (例如：如處於相等/相類於財產授予人/受託人/保護人/受益人位置的人為另一實體，對該實體行使控制權的個人)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

## Declarations and Signature 聲明及簽署

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

本人證明，就與本表格所有相關的實體賬戶持有人所持有的賬戶，本人是控權人 / 本人獲控權人授權簽署本表格 #。

本人承諾，如情況有所改變，以致影響本表格第 1 部所述的個人的稅務居民身分，或引致本表格所載的資料不正確，本人會通知滙業證券有限公司，並會在情況發生改變後 30 日內，向滙業證券有限公司提交一份已適當更新的自我證明表格。

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

Signature 簽署 : \_\_\_\_\_

Client Name 客戶姓名 : \_\_\_\_\_ Date (dd/mm/yy) 日期(日/月/年) : \_\_\_\_\_

# Delete as appropriate 刪去不適用者

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

## J. Client's Consent to Use of Personal Data 個人資料使用同意書

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, 本公司已仔細閱讀，完全理解並同意接受並遵守載於客戶協議第七部份有關個人資料(私隱)條例 (香港法例第 486 章) 的通知及聲明，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戶資料作為滙業證券開立或繼續維持賬戶，及滙業證券向本公司提供金融服務有關的直接促銷之用。

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.

本公司同意滙業證券及／或其任何集團公司或其他仔細挑選之金融、保險或產品供應商使用本公司的資料作為直接促銷與本公司於滙業證券開立或繼續維持賬戶，及滙業證券向本公司提供金融服務無關的其他金融、保險或產品供應商之用。

## K. Personal Information Collection Statement under Hong Kong Investor Identification Regime (HKIDR) and Over-the-counter Securities Transactions Reporting Regime (OTCR) 香港投資者識別碼制度及場外證券交易匯報制度 - 個人資料收集聲明

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）明白並同意，我們（滙業證券有限公司）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（證監會）的規則和規定，我們可收集、儲存、處理、使用、披露及轉移閣下有關於閣下的個人資料（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證監會規則和規定，向聯交所及／或證監會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（包括但不限於證監會）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資料進行分析；及
- (c) 允許證監會：(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後，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，可能意味著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 確認及同意

- 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/吾等確認已閱讀並理解致滙業證券有限公司之《香港投資者識別碼制度及場外證券交易匯報制度 - 個人資料收集聲明》內容及本人/吾等同意致滙業證券有限公司之個人資料用於本聲明所述之目的。

## L. Client’s Declaration, Acknowledgement and Consent 客戶聲明、確認及承諾

### Application of Account Opening and Information Provided 賬戶開立申請及資料提供

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關表格所提供之資料全部為真實、完整及正確，本公司等並未刻意隱瞞任何重要事實。本公司等向滙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）的所有條款並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。除非滙業證券接到更改有關開戶申請書內容的書面通知，否則滙業證券有權完全依賴此等資料及聲明作一切用途。滙業證券獲授權可隨時就核對本資料事宜，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。本公司等亦明白滙業證券根據上述投資經驗及對產品認識內的資料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作準則之有關要求。

**Risk of E-Statement Service 電子結算單的風險**

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.

本公司謹此承認互聯網及其他電子媒介的接達可能因為高峰期、市場波動、系統升級或維修或因其他原因而受到限制或未能提供。透過互聯網及其他電子媒介進行的任何通信可能會受到干擾、出現傳輸中斷，及由於未能預測的互聯網通信量或因其他不受持牌人或註冊人控制的原因而導致傳輸延誤。基於技術所限，互聯網本身為不可靠的通信媒介。因此，可能會出現資訊傳輸及接收之延誤，以及結算單未必能傳送到指定的電郵賬號。此外，未經授權第三方可能獲得通訊及個人資料，及本公司須要完全承擔任何誤解通信或通信錯誤之風險。

**Additional Statement (For Futures Trading Account)****附加聲明 (只適用於期貨賬戶)**

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／吾等同意細閱列於期貨(合約限量及須申報的持倉量)規則及由證監會發出的有關指引的申報規則及責任。本人／吾等同意依據期貨(合約限量及須申報的持倉量)規則、證監會及香港期貨交易所之要求作出申報及完成有關責任。本人／吾等明白所有有關資料可以由證監會及香港交易所的網頁上獲得。

**M. Signature of Account Holder 賬戶持有人簽署****Client Signature & Company Chop 客戶簽署及公司印章**

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Name of Client 客戶名稱

Date 日期

**N. Declaration by Licensed Representative 持牌代表聲明**

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)，經以他/他們明白的語言，向\_\_\_\_\_ (客戶姓名)，邀請其閱讀，提出問題及徵求獨立意見（如客戶有此意願），並已全部清楚解釋協議書，當中包括，但不限於本開戶表、一般條款、附加條款、免責聲明、私隱政策及風險披露聲明書內的內容。

<b>Signed by Licensed Representative</b> 持牌代表簽署	<b>SFC CE No.</b> 證監會中央編號	<b>Date</b> 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.**  
本開戶表之英文本（相對中文譯本而言）為確實及有最終效力。
- Any deletion or amendment must be signed by all account holders.**  
任何刪除或修改，必須由客戶簽名作實。

**For Office Use Only 只供本公司專用**

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 經紀/客戶經理名稱

	CE No. 中央編號		Contact No. 聯絡電話	
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**Document checklist 文件查核清單 :**

<input type="checkbox"/> Copy of Certificate of Incorporation* 公司註冊證書副本*	<input type="checkbox"/> Deed of Guarantee (if applicable) 擔保書 (如適用)
<input type="checkbox"/> Copy of Business Registration Certificate* (if any) 公司商業登記證副本* (如有)	<input type="checkbox"/> ID/Passport copies and Address Proof of all Shareholders, Directors, Authorized Persons & Guarantor* 所有股東、董事、獲授權者及擔保人的身分證/護照副本及地址證明*
<input type="checkbox"/> Copy of Memorandum & Articles of Association 公司章程大綱及細則副本*	<input type="checkbox"/> Business/Registration Address Proof (within 3 months) 營業/註冊地址證明 (三個月內)
<input type="checkbox"/> Copy of Register of Directors* 公司董事記錄冊副本*	<input type="checkbox"/> Copy of Certificate of Incumbency (Overseas Company) (within 6 months)* 職權證明書副本* (海外公司) (六個月內)
<input type="checkbox"/> Board Resolution 董事決議案	<input type="checkbox"/> Copy of Register of Shareholder and Director* (Overseas Company) 股東註冊證明文件副本及公司董事記錄冊* (海外公司)
<input type="checkbox"/> Copy of Audited Financial Report 審計財務報表副本*	<input type="checkbox"/> Organization Chart 公司架構圖
<input type="checkbox"/> Copy of Client Standing Settlement Bank Account Statement 客戶常設交收銀行賬戶結單副本	<input type="checkbox"/> W-8BEN-E Form / W-9 Form (if applicable) W-8BEN-E 表格或 W-9 表格 (如適用)

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.

備註: \*有關身份證明文件的見證, 須由太平紳士、特許秘書、執業會計師、律師或公證人加以驗證

**Client Information & Document checked by 客戶資料及文件核對**

Name of staff & signature 職員名稱及簽署 (CS)	Name:	Signature:	Date 日期	
Name of staff & signature 職員名稱及簽署 (LCD)	Name:	Signature:	Date 日期	
Name of staff & signature 職員名稱及簽署 (OP)	Name:	Signature:	Date 日期	

**Basic Commission 基本佣金 (如不填寫, 默認為公司基本收費)**

HK Market - Brokerage (%) 港幣佣金 / 最低佣金	Phone 電話:	Internet 網上:
US Market - Brokerage (%) 美元佣金 / 最低佣金	Phone 電話:	Internet 網上:
Funds / Bonds - Brokerage (%) 佣金% / 最低佣金		
ELN - Brokerage (%) 佣金% / 最低佣金		
Futures Commission 期貨佣金	Stock Options Commission 股票期權佣金	
Remark 備註		

**ACKNOWLEDGED AND ACCEPTED BY AN AUTHORIZED SIGNATORY(IES) FOR AND ON BEHALF OF DELTA ASIA SECURITIES LIMITED**

經由滙業證券有限公司之授權代表確認及接納

DAS Authorized Signature(s) 滙業證券授權代表簽署	Name of Authorized Person 授權代表姓名	Date 日期