

A/C No.	
A/C Name	
AE Code	
A/C Open Date	



**新質證券有限公司**

**Modern Innovative Securities Limited**

SFC Licensed Corporation (CE No. : BGH629)

**ACCOUNT OPENING FORM (CORPORATE)  
(CASH ACCOUNT/MARGIN ACCOUNT)**

帳戶開戶表格(公司帳戶)

(現金帳戶/保證金帳戶)

## CLIENT INFORMATION STATEMENT

## 客戶資料 (公司帳戶)

1 Account Type and Corporate information 戶口種類及公司資料					
AE Code 經紀編號	<input type="text"/>	Account No. 帳戶號碼	<input type="text"/>	A/C Opening Date 開戶日期:	<input type="text"/>
Account for Securities trading with MISL 於新質證券的證券交易帳戶					
Account Type 帳戶類別 <input type="checkbox"/> Cash Account 現金帳戶 <input type="checkbox"/> Margin Account 保證金帳戶					
Internet Trading Services 網上交易服務 <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否					
Selection of trading securities (Please tick the relevant box(es)) 證券市場交易種類 (請選擇):					
<input type="checkbox"/> A Shares – Mainland China 中國 A 股 <input type="checkbox"/> H.K. Share 港股 <input type="checkbox"/> U.S. Stocks 美國股票					
<input type="checkbox"/> Fund / Bond 基金 / 債券 <input type="checkbox"/> Others 其他 _____					
Brief Description of Nature of Business 業務性質:					
<input type="checkbox"/> Listed Company 上市公司 <input type="checkbox"/> Unlisted Limited Company 非上市有限公司 <input type="checkbox"/> Sole Proprietorship 獨資經營					
<input type="checkbox"/> Partnership 合夥經營 <input type="checkbox"/> Others (please specify) 其他(請註明): _____					
Name of Company / Corporation 公司名稱				Certificate of Incorporation Number 註冊編號:	
In English 英文: _____				_____	
In Chinese 中文: _____				H.K. Business Registration Number 商業登記證編號:	
Trading Name (If different from above):				_____	
經營名稱 (如有異於上述): _____				Legal Entity Identifier (LEI) 全球法人機構識別編碼:	
_____				_____	
Place of Incorporation / Establishment		Date of Incorporation (DD/MM/YYYY)		Geographic location of business	
註冊/ 成立地點		成立日期 (日/ 月/ 年)		業務所在地	
Address of Registered Office in Country of Incorporation / Establishment					
註冊地的註冊地址					
Business Address (If differ from Registered Address)					
辦事處地址 (如與註冊地址不同)					
Correspondence Address (If differ from Business Address)					
通訊地址 (如與辦事處地址不同)					
Phone No. (1)		Phone No. (2)		Facsimile No.	
公司電話 (1)		公司電話 (2)		傳真號碼	
Email Address		Nature of business			
電郵地址		公司業務性質			
<b>Trade Confirmation 交易核實資料書 (Choose one only 只可選一項)</b>					
<input type="checkbox"/> Receive trade confirmation via E-mail 透過電郵索取交易核實資料書					
<input type="checkbox"/> Receive trade confirmation via Facsimile 透過傳真索取交易核實資料書					
<input type="checkbox"/> No trader confirmation required 不需要交易核實資料書					
<b>Address for Monthly Statement 寄送月結單的地址 (Choose one only 只可選一項)</b>					
<input type="checkbox"/> Electronic Services to E-mail Address 經電子服務發送到電郵地址					
<input type="checkbox"/> Electronic Services to Facsimile Number 經電子服務發送到傳真號碼					
<input type="checkbox"/> Mailing Services to 郵遞服務寄送到:					
<b>(HKD 100 will be charged for each Physical Statement, please refer to the fee schedule on the website of Modern Innovative Securities Limited. )</b>					
<b>(就每一帳戶須支付實體結單費為港幣\$100。詳情請瀏覽新質證券有限公司網頁內的收費表。)</b>					
<input type="checkbox"/> Registered Office Address 註冊地址 <input type="checkbox"/> Business Address 辦事處地址 <input type="checkbox"/> Correspondence Address 通訊地址					

2 Ultimate Beneficial Owner Information 最終實益擁有人資料			
The individuals who are the ultimate beneficial owners of the shares of the Company (not applicable to public listed company) 公司股權最終實益擁有人 (不適用於上市公司)			
Name 姓名: _____	Nationality 國籍: _____	Place of Birth 出生地點: _____	Shareholding 股權(%): _____ %
ID/Passport No. 身份證/ 護照號碼: _____	Address 地址: _____		
Contact Number 聯絡電話: _____	_____		
Name 姓名: _____	Nationality 國籍: _____	Place of Birth 出生地點: _____	Shareholding 股權(%): _____ %
ID/Passport No. 身份證/ 護照號碼: _____	Address 地址: _____		
Contact Number 聯絡電話: _____	_____		
<p>You shall provide (1) ownership structure and (2) certified true copy of Significant Controllers Register (applicable to company incorporated in Hong Kong) or Beneficial Owners Register (applicable to offshore company incorporated in any jurisdiction requesting such register to be maintained) to identify the individuals who are your ultimate beneficial owner.</p> <p>客戶須提供 (1) 擁有權結構 及 (2) 重要控制人登記冊 (適用於香港成立之公司) 或最終實質擁有人名單 (適用於在任何要求保存此名單的司法管轄區成立之離岸公司) 之經認證真確副本以核實最終實益擁有人身分。</p>			
3 Director Information 董事資料			
Name 姓名: _____	Nationality 國籍: _____	Place of Birth 出生地點: _____	ID/Passport No. 身份證/ 護照號碼: _____
Address 地址: _____			Contact Number 聯絡電話: _____
Name 姓名: _____	Nationality 國籍: _____	Place of Birth 出生地點: _____	ID/Passport No. 身份證/ 護照號碼: _____
Address 地址: _____			Contact Number 聯絡電話: _____
4 Financial Profile and Anticipated Activities 財務狀況及預期戶口活動			
Paid-up Capital (in HKD\$) 繳足股本 ( 港元 ) : _____	Major Assets 主要資產: : _____	Net Profit (After Tax) in preceding year (in HKD\$) 上一年除稅後純利 ( 港元 ) : HKD\$ _____ Year 年份: _____	
Source of Funds 投資資金來源 (Choose one or more 可選多項)			
<input type="checkbox"/> Trading Profits 營業利潤	<input type="checkbox"/> Manufacturing Profits 生產收益	<input type="checkbox"/> Dividend/Interest Income 股息/ 利息收入	
<input type="checkbox"/> Service Income 服務收入	<input type="checkbox"/> Rental income 租金收入	<input type="checkbox"/> Other (please specify) 其他 (請註明): _____	
Source of Wealth 財富來源 (Choose one or more 可選多項)			
<input type="checkbox"/> Development / Investment 發展投資	<input type="checkbox"/> Intragroup Financing 集團內部融資	<input type="checkbox"/> Fund from shareholders 股東資金	<input type="checkbox"/> Other (Please Specify): _____
<input type="checkbox"/> Business Ownership 企業所有權	<input type="checkbox"/> Return on Investment 投資回報	<input type="checkbox"/> Loan – Business 貸款 - 業務	其他 (請註明): _____

Estimated annual income (in HKD\$) 估計年度收入 (港元)							
<input type="checkbox"/>	Less than 少於 200,000	<input type="checkbox"/>	200,001 – 500,000	<input type="checkbox"/>	500,001 – 1,000,000		
<input type="checkbox"/>	1,000,001 – 2,000,000	<input type="checkbox"/>	2,000,001 – 5,000,000	<input type="checkbox"/>	Over 多於 5,000,000		
Approximate net value of assets (in HKD\$) 概約資產淨值 (港元)							
<input type="checkbox"/>	Less than 少於 500,000	<input type="checkbox"/>	500,001 – 1,000,000	<input type="checkbox"/>	1,000,001 – 3,000,000		
<input type="checkbox"/>	3,000,001 – 8,000,000	<input type="checkbox"/>	8,000,001 – 40,000,000	<input type="checkbox"/>	Over 多於 40,000,000		
Anticipated nature of account activities 預期戶口活動性質 (Choose one or more 可選多項)							
<input type="checkbox"/>	Listed equities 上市股票	<input type="checkbox"/>	Placement 配股	<input type="checkbox"/>	Fund 基金		
<input type="checkbox"/>	Other (Please specify) 其他 (請註明): _____						
Anticipated level of account activities (in HKD\$) 預期戶口投資金額 (港元)							
<input type="checkbox"/>	Less than 少於 500,000	<input type="checkbox"/>	500,001 – 1,000,000	<input type="checkbox"/>	1,000,001 – 3,000,000		
<input type="checkbox"/>	3,000,001 – 8,000,000	<input type="checkbox"/>	8,000,001 – 40,000,000	<input type="checkbox"/>	Over 多於 40,000,000		
<b>5</b>	<b>Anticipated Level of Trading Activity in the Account 預計在本戶口的交易量</b>						
Transaction amount per month (HKD) 每月交易金額 (港幣)		<input type="checkbox"/>	< \$500,000	<input type="checkbox"/>	> \$500,000		
Number of Transaction per month 每月交易合約次數		<input type="checkbox"/>	< 20	<input type="checkbox"/>	20 - 40	<input type="checkbox"/>	> 40
Investments Products 投資產品		<input type="checkbox"/>	Stocks 證券	<input type="checkbox"/>	Derivative products 衍生產品 結構性及衍生產品	<input type="checkbox"/>	Mutual funds or Bonds 單位信托基金或債券
<b>6</b>	<b>Investment Objective 投資目標</b>						
<input type="checkbox"/>	Stable Growth 平穩增長						
<input type="checkbox"/>	Balance Growth 均衡增長						
<input type="checkbox"/>	High Growth 高速增長						
<input type="checkbox"/>	Hedging 對沖						
<input type="checkbox"/>	Speculative 投機						
<b>7</b>	<b>Investment Experience (can choose more than one) 投資經驗 (可選多於一項)</b>						
Product 產品		Experience (in Terms of Year) 經驗 (以年計算)					
		Nil 無	< 1	1 - 3	3 - 5	5 - 10	> 10
Stocks 證券							
Structured and derivative product 結構性及衍生產品							
Bond / Fund 債券 / 基金							
Others 其他 _____							
<b>8</b>	<b>Derivatives Knowledge 衍生工具知識</b>						
(i) Do you have Derivatives Knowledge 您有沒有衍生產品知識?		<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有					
(ii) If yes, how do you acquire the relevant knowledge of derivatives? 如有，您如何獲得有關衍生工具知識?							
<input type="checkbox"/>	I have trading experience in any kinds of derivatives products, for example at least 5 transactions of any derivatives products in the past three years. 我擁有曾買賣衍生產品的經驗，例如最少在過去3年內進行5次或以上任何類別的衍生產品交易。						
<input type="checkbox"/>	I have undergone training or attended courses on derivatives products. 我曾接受有關衍生產品的培訓或修讀相關課程。						
<input type="checkbox"/>	I have working experience involved in derivative. 我擁有涉及衍生產品的工作經驗。						
<input type="checkbox"/>	Others 其他 _____						
For clients do not have any of the above-mentioned 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 Account Agreement and agree to bear the risks involved.							
如客戶沒有以上任何一項經驗及認識，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證券帳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。							

<b>10</b>	<b>Risk Tolerance 風險承受程度</b>		
Annual volatility of investment portfolio 投資組合按年所承受波幅	<input type="checkbox"/> Aggressive 高	<input type="checkbox"/> Moderate 中	<input type="checkbox"/> Conservative 低
<b>11</b>	<b>Receiving Bank Account 收款銀行帳戶</b>		
Please provide details of your bank account as the settlement account to which your money will be transferred. 請提供可供轉入閣下款項的銀行帳戶資料。			
<b>(1)</b>		<b>(2)</b>	
Name of Bank 銀行名稱: _____		Name of Bank 銀行名稱: _____	
Address 地址: _____		Address 地址: _____	
Account Name 帳戶姓名/ 名稱: _____		Account Name 帳戶姓名/ 名稱: _____	
Account No. 帳戶號碼: _____		Account No. 帳戶號碼: _____	
Account type (If applicable) 帳戶類別(如適用): _____		Account type (If applicable) 帳戶類別(如適用): _____	
<b>12</b>	<b>Disclosure of Identity 披露身份</b>		
Is the Client or any other person referred to hereof a senior officer or director or in control of any company whose shares are traded on any exchange or market? 本文提述之客戶或任何人士，是否任何公司之高級行政人員或董事或控制任何公司之人士，而該公司之股份在交易所或市場買賣？			
<input type="checkbox"/> No 否 <input type="checkbox"/> Yes, please specify 是，請說明: _____			
Are your shareholder and/or director a director or employee of a person, licensed by or registered with Securities and Futures Commission Hong Kong? 客戶之股東及/或董事是否香港證券及期貨事務監察委員會發牌或註冊人士或該人士之董事或僱員？			
<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 (insert details below and attach consent letter from employer 請提供資料及僱主同意書)			
Name of the licensed or registered person (If applicable) 持牌或註冊人士姓名/ 名稱 (如適用): _____			
Are you a U.S. person? 客戶是否美籍人士？			
<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是			
Are you holding or will acquire or hold securities or futures beneficially owned by or for a U.S. person? 客戶是否現持有又或將會以信託人身份替其他美籍人士買入或持有證券或期貨？			
<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是			
<b>13</b>	<b>Other Accounts with Modern Innovative Securities Limited 於新質證券有限公司的其他帳戶</b>		
Do you/ your director/ your shareholders have any securities or other account with Modern Innovative Securities Limited or its associates? 客戶/ 客戶之董事/ 客戶之股東是否於新質證券有限公司或其聯號持有任何證券或其他帳戶？			
<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 (insert details below 請填寫以下資料)			
Name of Account 帳戶姓名/ 名稱	Modern Innovative Securities Limited or its associates (Please Specify) 新質證券有限公司或其聯號 (請列明)	Account Number 帳戶號碼	
_____	_____	_____	

14 Self-Certification – Entity 自我證明表格 – 實體	
<p>This is a self-certification form 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.</p> <p>An account holder should report all changes in his/her tax residency status to the reporting financial institution.</p> <p>All parts of the form must be completed (unless not applicable or otherwise specified). If space provided is insufficient, continue on additional sheet(s). Information in fields/parts marked with an asterisk (*) are required to be reported by the reporting financial institution to the Inland Revenue Department.</p> <p>這是由帳戶持有人向申報財務機構提供的自我證明表格，以作自動交換財務帳戶資料用途。</p> <p>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。</p> <p>如帳戶持有人的稅務居民身分有所改變，應盡快將所有變更通知申報財務機構。</p> <p>除不適用或特別註明外，必須填寫這份表格所有部分。如這份表格上的空位不夠應用，可另紙填寫。在欄/部標有星號(*)的項目為申報財務機構須向稅務局申報的資料。</p>	
<p><b>Part 1: Identification of Individual Account Holder 實體帳戶持有人的身分識別資料</b></p> <p>(For joint or multiple account holders, complete a separate form for each individual account holder.)</p> <p>(對於聯名帳戶或多人聯名帳戶，每名實體帳戶持有人須分別填寫一份表格)</p>	
<p>Legal name of the entity or branch office*</p> <p>實體或分支機構的法定名稱*</p>	<p>Hong Kong Business Registration Number</p> <p>香港商業登記號碼</p>
<p>The entity is incorporated as a corporation or a tax jurisdiction in which it is established by 實體成立為法團或設立所在的稅務管轄區</p>	
<p>Current Residence Address 現時營業地址:</p>	<p>Country* 國家*</p>
<p>Post Code/ZIP Code</p> <p>郵政編碼/郵遞區號碼</p>	
<p>Mailing Address (Complete if different to the current residence address)</p> <p>通訊地址 (如通訊地址與現時營業地址不同，填寫此欄)</p>	<p>Country* 國家*</p>
<p>Post Code/ZIP Code</p> <p>郵政編碼/郵遞區號碼</p>	
<p><b>Part 2: Entity Type 實體類別</b></p> <p>(add √ in one of the appropriate squares and provide information about the data) (在其中一個適當的方格內加上√號，並提供有關資料。)</p>	
<p>Financial Institution</p> <p>財務機構</p>	<p><input type="checkbox"/> Custodial Institution, Depository Institution or Specified Insurance Company</p> <p>託管機構、存款機構或指明保險公司</p> <p><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.</p> <p>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</p>
<p>Active Non-Financial Entity</p> <p>主動非財務實體</p>	<p><input type="checkbox"/> NFE, the stock of which is regularly traded on stated market as followed which is an established securities market:</p> <p>該非財務實體的股票經常在以下所指之市場(一個具規模證券市場)進行買賣: _____</p> <p><input type="checkbox"/> Related entity of _____, the stock of which is regularly traded on _____, which is an established securities market.</p> <p>與_____的有關連實體，</p> <p>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。</p> <p><input type="checkbox"/> NFE is a government entity, a central bank, or an entity wholly owned by one or more foregoing entities.</p> <p>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</p> <p><input type="checkbox"/> Active NFE other than the above</p> <p>除上述以外的主動非財務實體 (Please advise 請說明: _____)</p>

Passive Non-Financial Entity 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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**Part 3: Controlling Persons (Please complete this part if the entity Account Holder is a Passive NFE)**

**第 3 部 控權人 (如實體帳戶持有人是被动非財務實體，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. Please complete CRS Controlling Person Self-Certification Form for each controlling person.

就帳戶持有人，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)	(2)
(3)	(4)
(5)	(6)
(7)	(8)

**Part 4: Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN") \***

**第 4 部 居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. If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Business Registration Number.

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

提供以下資料，列明 (a) 帳戶持有人的居留司法管轄區，亦即帳戶持有人的稅務管轄區 (香港包括在內) 及 (b) 該居留司法管轄區發給帳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。如帳戶持有人是香港稅務居民，稅務編號是其香港商業登記號碼。

如沒有提供稅務編號，必須填寫合適的理由：

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

理由 A – 帳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 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.**

理由 B – 帳戶持有人不能取得稅務編號。如選取這一理由，解釋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 – 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帳戶持有人披露稅務編號。

	居留司法管轄區 Jurisdiction of Residence	稅務編號 TIN	如沒有提供稅務編號，請填寫理由 A、B 或 C Please enter Reason A, B or C if no TIN is available	如選取理由 B，請解釋帳戶持有人不能取得稅務編號的原因 Please explain why you are unable to obtain a TIN if you have selected Reason B
1			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
2			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
3			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
4			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
5			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	

**Part 5: Declarations and Signature****第 5 部 聲明及簽署**

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by the financial institution for the purpose of Automatic Exchange of Financial Account Information (the "AEOI"), and (b) such information and information regarding the controlling person 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 tax authorities of another jurisdiction or jurisdictions in which the controlling person 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 by the account holder to sign this form for all accounts associated with this form. I promise that if the situation changes, it will affect the tax resident status of the entity referred to in Part 1 of this form, or the information contained in this form is incorrect, I undertake to advise Modern Innovative 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 Modern Innovative Securities Limited with a suitably updated self-certification form within 30 days of such change in circumstances.

本人知悉及同意，財務機構可根據《稅務條例》(第 112 章)有關交換財務帳戶資料的法律條文，(a) 收集本表格所載資料並可備存作自動交換財務帳戶資料用途及 (b) 把該等資料和關於帳戶持有人及任何須申報帳戶的資料向香港特別行政區政府稅務局申報，從而把資料轉交到帳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帳戶，本人獲帳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，本人會通知新質證券有限公司，並會在情況發生改變後 30 日內，向新質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:**

X \_\_\_\_\_

**Name 姓名:**

\_\_\_\_\_

**Capacity 身份 (例如：公司的董事或高級人員、合夥的合夥人、信託的受託人等) :**

\_\_\_\_\_

**Date (dd/mm/yy) 日期 (日/月/年):**

\_\_\_\_\_

**Warning: According to section 80(2E) of the Inland Revenue Ordinance, if a person makes a self-certification, knowing that a statement is misleading, false or incorrect in the material particulars, it is an offence to make a statement whether or not a statement is misleading, false or incorrect in a material particular. Once convicted, at level 3 (e.g. HK\$10,000) fine.**

**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，作出該項陳述，即屬犯罪。一經定罪，可處第 3 級 (即\$10,000) 罰款。**

<b>15</b>	<b>Declaration of Ownership 擁有權聲明</b>
<p>We hereby declare that we are the ultimate beneficial owner(s) of the Account(s) 吾等現聲明吾等為該帳戶之最終受益人:</p> <p><input type="checkbox"/> Yes 是</p> <p><input type="checkbox"/> No, particulars of ultimate beneficial owner(s) are as follows 否·下列為最終受益人資料:</p> <p><b>(Please provide the certified true copy of ID Card or passport and Address Proof of all ultimate beneficial owner(s))</b>  <b>(請提供所有最終受益人之身份證或護照經認證真確副本及其住址證明)</b></p> <p>Name of ultimate beneficial owner _____ HKID/Passport No/Cert of Incorporation No. _____  最終實益擁有人姓名 _____ 香港身份證 / 護照號碼 / 公司註冊證書號碼 _____</p> <p>Address 地址 _____  _____</p>	
<b>16</b>	<b>Declaration of Relationship 關係聲明</b>
<p>Are your shareholder and/or director related to any director, officer or employee of Modern Innovative Securities Limited, or its associates, e.g. family member or hold any beneficial interest?  客戶之股東及/或董事是否與新質證券有限公司之任何董事、主管人員或僱員或其聯號有任何關連·如家庭成員或有任何實益權益?</p> <p><input type="checkbox"/> No 不是 <input type="checkbox"/> Yes, please specify 是·請說明: _____</p> <p>Are your shareholder's and/or director's spouse a client of Modern Innovative Securities Limited or its associates?  客戶之股東及/或董事之配偶是否新質證券有限公司或其聯號之客戶?</p> <p><input type="checkbox"/> No 不是 <input type="checkbox"/> Yes, please specify 是·請說明: _____</p> <p>Do your shareholder and/or director and/or your shareholder and/or director spouse control 35% or more of the voting right of any client of Modern Innovative Securities Limited or its associates?  客戶之股東及/或董事及/或客戶之股東及/或董事之配偶有否控制新質證券有限公司或其聯號任何客戶 35% 或以上的表決權?</p> <p><input type="checkbox"/> No 否 <input type="checkbox"/> Yes, please specify 是·請說明: _____</p>	
<b>17</b>	<b>Settlement Details 結算詳情 (For Hong Kong Market DVP settlement only) (只適用於香港市場貨銀對付結算)</b>
<p>Custodian Bank 託管銀行: _____ Account Name 帳戶名稱: _____</p> <p>CCASS ID (if applicable) 中央結算系統號碼(如適用): _____ Securities Account No. 證券帳戶號碼: _____</p>	
<b>18</b>	<b>Use of Personal Data in Direct Marketing Consent Letter 使用個人資料作直接促銷同意書</b>
<p>I/we hereby confirm that I/we have understood personal information collection statement. I/we understand that it is not obligatory for me/us to allow my/our personal data to be used for direct marketing, that I/we may opt-out now by checking the relevant box or boxes below, and that the Broker cannot use or provide my/our personal data for direct marketing by itself or other parties without receiving my/our written consent. I/we agree that the instruction below overrides any choice communicated by me/us to the Broker prior to this request.  本人/吾等確認·本人/吾等已了解新質證券的個人資料收集聲明·本人/吾等了解·本人/吾等並無責任容許用本人/吾等的個人資料作直接促銷用途·本人/吾等現在可以 <input checked="" type="checkbox"/> 號選擇以下一個或多個相關空格·以拒絕使用/提供個人資料作直接促銷·在未取得本人/吾等的書面同意前·經紀不得使用或提供本人/吾等的個人資料以供其本身或其他人士作直接促銷之用·本人/吾等同意·下列指示凌駕於本人/吾等在提出本要求前向經紀傳達的任何選擇。</p> <p><input type="checkbox"/> I/we do not wish to have my/our personal data used for direct marketing purposes and do not want to receive any marketing communications from the Broker, or any other persons.  本人/吾等不希望本人/吾等的個人資料被使用作直接促銷用途·亦不希望收到經紀或任何其他人士發出的任何促銷通訊。</p> <p><input type="checkbox"/> I/we do not wish the Broker to provide my personal data to other persons for their use in direct marketing under any circumstances. Please advise any third parties to whom my personal data have been provided for direct marketing purposes that they may no longer use these data for direct marketing, if applicable.  本人/吾等無論如何不希望經紀向他人提供本人/吾等的個人資料以供彼作直接促銷用途·如有任何第三者獲提供本人的個人資料作直接促銷用途·請告知該第三者等不得再使用該等資料作直接促銷(如適用)。</p>	

**Client Acknowledgement and Consent 客戶確認及承諾**

The undersigned hereby acknowledges, declares and confirms on behalf of the company that:

本人/吾等謹此代表公司承諾、聲明並確認：

- D1. The Company hereby confirm that The Company/I have been provided the Client Agreement (the "Agreement") of Modern Innovative Securities Limited ("MISL") and the Risk Disclosure Statement.  
公司確認新質證券有限公司(下稱“新質證券”)已提供了客戶協議書(“協議書”)及風險披露聲明之副本。
- D2. The Company hereby confirm and represent that the information on this Account Opening Form is true, complete and correct. MISL is entitled to rely fully on such information and representations for all purposes, unless MISL receives notice in writing of any change. MISL or any of its agents is hereby authorized at any time to contact anyone, including The Company banks or any credit agency, for the purpose of verifying the information provided on this Account Opening Form.  
公司謹此聲明在本開戶表格所提供之資料全部為真實、完整及正確。除非新質證券接到更改有關本開戶表格內容之書面通知。否則新質證券有權完全依賴此等資料及聲明作一切用途。新質證券或其代理獲授權可隨時就核對本開戶表格資料事宜。與任何人包括公司之銀行、經紀或任何信用機構進行諮詢。
- D3. The Company hereby apply to open the types of account(s) and service(s) which The Company choose on the front page of this Account Opening Form and confirm that The Company have read and understand the relevant provisions of the attached Agreement and accept and agree to be bound by the Agreement as the same may be amended from time to time, and The Company hereby give you notice in writing that The Company confirm and authorize MISL to exercise all the powers of the Standing Authorities under the Agreement.  
公司現申請開立公司在本開戶表格頁首選擇之帳戶及服務類別。公司確認已閱讀並明白附上之協議書的所有有關條款並且接受及同意受其所約束；及公司接受及同意新質證券可不時修改該協議書之條款。公司在此以書面通知確認並授權新質證券行在該協議書內的全部常設授權。
- D4. The Company further acknowledge and confirm that The Company have been invited by MISL to read the Risk Disclosure Statement, ask questions and take independent advice, if The Company wish; and The Company have carefully read, fully understood and agreed to accept and be bound by the Personal Information Collection Policy Statement of the Agreement.  
公司進一步確認新質證券已經邀請本人/吾等閱讀風險披露聲明。提出問題及徵求獨立的意見(如公司有此意願)；公司已仔細閱讀、完全理解並同意接受及遵守客戶協議書內之個人資料收集政策聲明。
- D5. Each of The Company's shareholder(s) and director(s) is over 18 years of age.  
公司各股東及董事已年滿十八歲。
- D6. The Company is and will be acting as principal, unless where particulars of the ultimate beneficial owner(s) are provided in this Account Opening Form in which case The Company confirms that the person(s) whose particulars are so provided is/are the ultimate beneficial owner(s) of the Account(s).  
除非於本開戶表格提供最終實益擁有人的詳情。否則公司乃以及將以當事人之身份行事。而倘於本開戶表格已提供最終實益擁有人的詳情。則以公司確認所提供詳情的人士(一名或多名)為帳戶(一個或多個)的最終實益擁有人(一名或多名)。
- D7. I/we hereby declare that after signing in the signature column herein below by myself/ourselves (the Client), indicated that I/we have already fully read, confirmed, agreed, accepted and understood All Those Terms and Conditions (including all the relevant contents and provisions of this Account Opening Form). In relation to all the above-mentioned contents and provisions, I/we have already have also understood all the contents and provisions and have no questions to ask.  
本人/吾等茲聲明。當本人/吾等於下列簽署欄內簽署後。即表示本人/吾等已完全細閱、確認、同意、接受及明白該等條款及條件(包括本開戶表格內所有內容)所有內容和細則。關於上述各項所有內容和細則。本人/吾等已明白所有其內容和細則及沒有任何疑問。

**Signature of Director / Authorized Representative and Chop of the Company**  
(Specimen Signature will be used to verify all written instructions given relating to the operation of the account(s))

董事 / 獲授權代表簽署及公司蓋章

簽署式樣將被用作核證任何就戶口運作之書面指示。

**Signature of Director / Authorized Representative and Chop of the Company**  
(Specimen Signature will be used to verify all written instructions given relating to the operation of the account(s))

董事 / 獲授權代表簽署及公司蓋章

簽署式樣將被用作核證任何就戶口運作之書面指示。

X \_\_\_\_\_

X \_\_\_\_\_

Name 姓名:

Name 姓名:

Date 日期:

Date 日期:

請於最適當的選擇加上“✓”。 Please “✓” on the most appropriate choice.

\* 刪除不適用。 \*Delete if not applicable

**E. CERTIFICATION OF CLIENT SIGNATURE AND IDENTITY PROOF (if applicable) 見證客戶簽署及證明文件驗證 (如適用)**

The undersigned person hereby certifies the signing of this Form by the above Client(s) and sighting of related identity documents of such Client(s) and the above Client signature(s) was/were made in my presence. **The suitable certifier(s), such as licensed or registered person, practicing solicitor or certified public accountant in Hong Kong, as well as professional third party.**

下述簽署人士謹此驗證上述客戶/聯名客戶簽立此文件及其有關的身份證明文件及以上客戶簽署乃於本人面前簽立。

**就認證身分核實文件的適合證明人，如持牌人或註冊人或香港執業之律師或會計師等專業第三者**

Witness Signature 見證人簽署	Name and Occupation of Witness (In block letter) 見證人姓名及職業 (以英文大楷或中文正楷填寫)	Date (dd/mm/yyyy) 日期(日/月/年)

**Declaration Made by a Licensed Representative 持牌代表聲明**

I, the undersigned representative of MISL, hereby declare and confirm that I have provided the Risk Disclosure Statements in a language of the Client's choice and have fully explained the contents of Risk Disclosure Statements (including any additional risk disclosure statements) to the Client. I have invited the Client to read the Risk Disclosure Statements, ask questions and seek independent advice if the client wishes.

本人為以下簽署者新質證券之代表。謹此聲明及確認本人已經以客戶所選擇能夠明白的語言向客戶完全解釋上述風險披露聲明(包括任何加入的風險披露聲明)的內容。並已邀請客戶細閱有關風險披露聲明及進行提問。如客戶有此意願。可就風險披露聲明徵求獨立意見。

the date first above written or

以上第一個所述日期或

Signature of licensed representative 持牌代表簽署	Name of licensed representative 持牌代表姓名	CE Number 中央編號
For and on behalf of Modern Innovative Securities Limited 新質證券有限公司承認及接納		
Authorized Signature 新質證券授權代表簽署	Name of licensed representative 新質證券授權姓名	Date (dd/mm/yyyy) 日期(日/月/年)

**Note: 注意事項:**

- If client is not physically presented in front of MISL's employee or is not submitted with an appropriate cheque<sup>2</sup>, it is required to provide the certified, copy<sup>3</sup> of supporting document(s) and sign above to on behalf.  
若客戶並非親身出現於新質證券之職員面前簽立本開戶表格或本開戶表格並非連同恰當的支票<sup>2</sup>一併遞交。則需提交已認證<sup>3</sup>之支持文件複本及於上欄簽名作驗證代替。
- A crossed cheque (in favour of "Modern Innovative Securities Limited" and amount not less than HK\$10,000 and bearing the client's name as shown in the identity document) is issued by the new client and drawn on the client's account with a licensed bank in Hong Kong and the signature on the cheque issued by the client and the signature on this Account Opening Form must be the same. Client's account will not be activated until the cheque is cleared.  
客戶在香港持牌銀行開立的帳戶所簽發的支票(抬頭人須為“新質證券有限公司”及該支票的數額不得少於10,000 港元。並須載有該客戶在身分證明文件上所顯示的姓名)及該客戶簽發的支票上的簽名。必須與本開戶表格的簽名相符。客戶帳戶必須待支票兌現後才可使用。

**STANDING AUTHORITY (Client Securities)**  
**(Margin securities account clients only)**  
**常設授權書 (客戶證券)**  
**( 只供保證金證券帳戶客戶使用 )**

To: MODERN INNOVATIVE SECURITIES LIMITED

致：新質證券有限公司

Address: Room 2206-2210, China Resources Building, 26 Harbour Road, Wan Chai H.K.

地址：香港灣仔港灣道 26 號華潤大廈 2206-2210 室

**STANDING AUTHORITY UNDER SECURITIES & FUTURE (CLIENT SECURITIES) RULES**

**根據《證券及期貨(客戶證券)規則》所設立的常設授權**

This letter of Standing Authority covers all securities purchased or held by you on my/our behalf.

本常設授權函件涵蓋一切由 貴公司代表本人/ 吾等購入或持有之證券。

Pursuant to Section 7 of the Securities and Futures (Client Securities) Rules, this letter authorizes you to:

本常設授權書·根據《證券及期貨(客戶證券)規則》第 7 條的規定·授權貴公司:

1. apply any of my/our securities or securities collateral to a securities borrowing and lending agreement(s);  
運用任何本人/ 吾等的證券或證券抵押品於證券借貸協議;
2. deposit any of my/our securities collateral with an authorized financial institution as collateral for financial accommodation provided to you; and/or  
將任何本人/ 吾等的證券抵押品存放於認可財務機構·作為提供予貴公司的財務通融的抵押品;及/或
3. deposit any of my/our securities collateral with a recognized clearing house or another intermediary licensed or registered for dealing in securities as collateral for the discharge and satisfaction of your settlement obligations and liabilities, without notice to me/us.  
將任何本人/ 吾等的證券抵押品存放於認可結算所或另一持牌或註冊進行證券交易的中介人·作為解除和清償 貴公司在交收上的責任及債務的抵押品·而無須通知本人。

I/We understand that the recognized clearing house or the intermediary licensed or registered for dealing in securities will have a first fixed charge over my securities collateral to the extent of your settlement obligations and liabilities.

本人/ 吾等明白認可結算所或其它獲發牌或獲註冊進行證券交易的仲介人·將因應貴公司在交收上的責任及債務而對本人的證券抵押品設定為第一固定押記。

This standing authority does not cover any consideration I/we must pay or be paid for your borrowing, lending, or depositing any of my securities. Any consideration must be set in a separate agreement between us.

本授權書並不涉及就貴公司借、貸或存放本人任何證券而須支付或收取的任何代價。任何代價均須由本人/ 吾等與貴公司另行簽約訂明。

You are accountable to me/us for the return of any securities borrowed, lent, or deposited under this authority.

貴公司須向本人/ 吾等就交還有關根據本常設授權而作出借入、貸出或存放之證券負責。

I/We understand that a third party may have rights to my securities, which you must satisfy before my securities can be returned to me.

本人/ 吾等明白本人/ 吾等的證券可能受制於第三者之權利·貴公司必須於抵償該等權利後·方將本人/ 吾等的證券交還本人/ 吾等。

This authority is valid for a period of 12 months from the date hereof and may be renewed for subsequent periods of 12 months either with my/our written consent or if I/we am given a written notice from you at least 14 days prior to the expiry of such authority and do not object to the renewal of such authority before its expiry. This authority may be revoked at any time on giving 30 days prior written notice to you. Such revocation shall not take effect until 2 business days subsequent to the actual receipt by MISL of such written notice and shall not affect any transactions undertaken by MISL pursuant to this Standing Authority prior to such revocation taking effect.

本常設授權以本函件日期起計十二個月內有效·並可於下列情況予以續期·每次續期可有效十二個月: 本人/ 吾等以書面同意續期; 或貴公司於授權有效期屆滿前不少於十四日向本人/ 吾等發出書面通知·而本人/ 吾等於授權有效期屆滿前未有提出反對續期。本人/ 吾等有權隨時以三十天書面通知貴公司撤銷此常設授權書。

本授權將於新質證券正式收到該書面通知後兩個工作天後正式撤銷。然而在此撤銷正式生效前·所有新質證券按本授權所達成的任何交易均不受該項撤銷所影響。

This letter has been fully explained to me and I/we have been advised to seek independent advice, and I/we understand the contents of this letter.

已全部向本人/ 吾等解釋清楚本函件·本人/ 吾等明白及接受本函件的內容。

Yours faithfully,

此致

**Signature of Director / Authorized Representative and Chop of the Company**

**董事 / 獲授權代表簽署及公司蓋章**

For and on behalf of 為或代表 (Client Name)(客戶名稱)

X \_\_\_\_\_

Name 姓名: \_\_\_\_\_

Date 日期:

(dd/mm/yyyy)

## STANDING AUTHORITY (Client Money)

常設授權書 (客戶款項)

To: MODERN INNOVATIVE SECURITIES LIMITED

致: 新質證券有限公司

Address: Room 2206-2210, China Resources Building, 26 Harbour Road, Wan Chai H.K.

地址: 香港灣仔港灣道 26 號華潤大廈 2206-2210 室

**STANDING AUTHORITY UNDER SECURITIES & FUTURES (CLIENT MONEY) RULES****根據《證券及期貨(客戶款項)規則》所設立的常設授權**

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

本授權涵蓋新質證券有限公司(「新質證券」)為本人/吾等在香港收取或持有並存放一個或多個獨立帳戶內之款項(包括因持有並非屬於新質證券之款項而產生之利息)(下稱「款項」)。

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

除另有界定或文義另有所指外，本授權內之所有名詞，與《證券及期貨條例》及《證券及期貨(客戶款項)規則》不時修訂之定義具有相同涵義。

This Standing Authority authorizes MISL to, in MISL sole discretion and without having to provide me/us with any prior notice or to obtain any prior confirmation and/or direction from me/us, to:

本授權書是給予新質證券按其酌情權，並在毋須事前給予本人/吾等任何通知或取得本人/吾等的確認及/或指示的情況下：

- (1) Combine or consolidate any or all segregated accounts of any name whatsoever and either individually or jointly with others, maintained by MISL for the purpose of satisfying my/our obligations or liabilities are actual or contingent, primary or collateral, secured or unsecured or joint or several;  
合併或綜合新質證券，即新質證券以任何名義所維持的任何或全部獨立帳戶，此等組合或合併活動可以個別地或與其他帳戶聯合進行，以履行本人/吾等對新質證券任何成員公司的義務或法律責任，無論此等業務或法律責任為確實或或然的、原有或附帶的、有抵押的或無抵押的、共同或分別的；
- (2) Transfer any sum of monies interchangeably between any of the segregated accounts maintained at any time by MISL;  
從新質證券於任何時間維持的任何獨立帳戶之間來回調動任何數額之款項；
- (3) Transfer any sum of Monies interchangeable between any of the segregated accounts maintained at any time by MISL and any segregated accounts maintained with counter-broker (whether in Hong Kong or overseas) upon or before any instructions have been given;  
在指示發出或之前，從新質證券於任何時間維持的獨立帳戶及於交易對手(不論香港或海外)維持的任何獨立帳戶，來回調動任何數額之款項；
- (4) Keep my/our Monies with overseas clearing firm(s) or broker(s) after trading to facilitate future trading or to transfer my/our Monies interchangeably between the segregated account(s) opened and maintained by MISL in Hong Kong and the segregated account(s) opened and maintained by MISL with any overseas clearing firm(s) or broker(s) outside Hong Kong;  
於完成交易後，將本人/吾等之款項存放於海外清算行或券商，以便日後之交易，或將本人/吾等之款項於新質證券於香港開立及維持之獨立帳戶及在新質證券於任何海外清算行或券商開立及維持之獨立帳戶之間交替地轉移；
- (5) Exchange my/our Monies into any other currency(ies) at the rate of exchange conclusively determined MISL; and  
可將帳戶內的款項以新質證券最終確定的匯率兌換成任何其他貨幣；及
- (6) This Standing Authority is given to MISL in consideration of MISL agreeing to continue to maintain the relevant trading account(s) for me/us.  
此授權書賦予新質證券同意繼續維持本人/吾等之相關交易帳戶。

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

此賦予新質證券之授權並不損害新質證券有關處理該等獨立帳戶內款項的其他授權或權利。

I/We acknowledge and understand that client money held by MISL outside Hong Kong are subject to the applicable laws and regulations of the relevant overseas jurisdiction which may be different from the Securities and Futures Ordinance and the rules made thereunder including the Securities and Futures (Client Money) Rules. Consequently, such client money may not enjoy the same protection as that conferred on client money held in Hong Kong.

本人/吾等確認及明白，新質證券在香港以外地方收取或持有的客戶款項，是受到有關海外司法管轄區的適用法律及規例所監管的。這些法律及規例與《證券及期貨條例》及根據該條例制訂的規例(包括《證券及期貨(客戶款項)規例》)可能有所不同。因此，有關客戶款項將可能不會享有賦予在香港收取或持有的客戶款項的相同保障。

This authority is valid for a period of 12 months from the date hereof and may be renewed for subsequent periods of 12 months either with my/our written consent or if I/we am given a written notice from you at least 14 days prior to the expiry of such authority and do not object to the renewal of such authority before its expiry. This authority may be revoked at any time on giving 30 days prior written notice to you. Such revocation shall not take effect until 2 business days subsequent to the actual receipt by MISL of such written notice and shall not affect any transactions undertaken by MISL pursuant to this Standing Authority prior to such revocation taking effect.

本常設授權以本函件日期起計十二個月內有效，並可於下列情況予以續期，每次續期可有效十二個月：本人/吾等以書面同意續期；或貴公司於授權有效期屆滿前不少於十四日向本人/吾等發出書面通知，而本人/吾等於授權有效期屆滿前未有提出反對續期。本人/吾等有權隨時以三十天書面通知貴公司撤銷此常設授權書。

本授權將於新質證券正式收到該書面通知後兩個工作天後正式撤銷。然而在此撤銷正式生效前，所有新質證券按本授權所達成的任何交易均不受該項撤銷所影響。

In the event of any difference in interpretation or meaning between the English and Chinese version of this Standing Authority, the English version shall prevail. I/We confirm that this Standing Authority has been explained to me/us and I/we fully understand the contents of this Standing Authority and have sought, or have had the opportunity to seek, legal advice concerning its contents and effect.

如本授權中、英文本之解釋或意思有任何歧義，概以英文本為準。本人/吾等確認本人/吾等就本授權的內容獲得解釋，並且完全明白本授權的內容，或本人/吾等已經或曾被賦予機會，就本授權的內容及效力尋求法律顧問的意見。

Signature of Director / Authorized Representative and Chop of the Company

董事 / 獲授權代表簽署及公司蓋章

For and on behalf of 為或代表 (Client Name)(客戶名稱)

X \_\_\_\_\_

Name 姓名: \_\_\_\_\_

Date 日期:

(dd/mm/yyyy)