

個人/聯名帳戶開戶表格
Individual/Joint Account Opening Form

帳戶編號: _____
Account Number
Sales Code: _____

1. 帳戶類別 Types of Account			
<input type="checkbox"/> 個人帳戶 Individual Account	<input type="checkbox"/> 現金帳戶 Cash Account	<input type="checkbox"/> 美國證券交易US Stock Trading	
<input type="checkbox"/> 聯名帳戶 Joint Account	<input type="checkbox"/> 保證金帳戶 Margin Account		
2. 客戶個人資料 Personal Particulars			
客戶名稱 Name of Client: (中文)		性別 Gender: <input type="checkbox"/> 女 Female <input type="checkbox"/> 男 Male	
出生日期 Date of Birth: 出生地點 Place of Birth:		國籍 : Nationality:	身份證/護照號碼: ID/Passport Number:
居住地址 : Residential Address			
通訊地址 : Correspondence Address			
住宅電話 Home Phone: 手提電話 Mobile Phone: 傳真號碼 Fax Number:	電郵地址: Email Address: (預設作收取單據/結單) (Default setting to receive Contract Note/Statement)		結單語言選擇 : Language selection for statements <input type="checkbox"/> 繁體中文 Traditional Chinese <input type="checkbox"/> 簡體中文 Simplified Chinese <input type="checkbox"/> 英文 English
閣下是否需要申請互聯網交易服務? Do you need to apply for the Internet Trading Service? <input type="checkbox"/> 需要 Yes <input type="checkbox"/> 不需要 No 如閣下在網上進行交易，通過互聯網傳送資訊可能出現時滯，導致有時不能以互聯網上所示價格進行交易。互聯網上的交易可能會出現傳送中斷、傳送停頓、因為互聯網交通繁忙而出現的傳送延誤的情況，或因為互聯網屬公共設施，而可能出現傳送數據錯誤等情況。 In the case of internet trading, there may be a time lag in data transmission, and orders may not necessarily be executed at the price indicated on the internet. Transactions over the internet may be subject to interruption, transmission blackout, delayed transmission due to internet traffic or incorrect transmission due to the public nature of the internet.			
3. 銀行帳戶資料 Bank Account Details			
銀行名稱 : Name of Bank:		帳戶號碼 : Account Number:	
除非另有書面指示，上述帳戶將用作提款指示之交收帳戶 Unless otherwise instructed, the above bank account will be used to settle withdrawal instruction 進行跨境匯款需要另行給予提款指示 Cross jurisdictions remittance requires specific withdrawal instruction 登記帳戶必須是客戶本人同名持有的帳戶 The registered bank account shall be maintained in the name of the account holder			
4. 工作、業務及資金來源訊息 Occupation, Business and Source of Wealth Information			
僱主名稱: Name of Employer:			
辦公地址 : Business Address:			
職位 : Occupation:	從業年期: Years of Services:	業務類型 : Business Nature:	
年總收入: Annual Income:	<input type="checkbox"/> <HK\$200,000 <input type="checkbox"/> >HK\$1,200,000	<input type="checkbox"/> HK\$200,000–HK\$800,000 <input type="checkbox"/> HK\$0 原因 Reason: _____	<input type="checkbox"/> HK\$800,000–\$1,200,000
財富來源: Source of Wealth:	<input type="checkbox"/> 薪金 Salary <input type="checkbox"/> 營商利潤 Business Profit <input type="checkbox"/> 其他 Other: _____	<input type="checkbox"/> 儲蓄 Savings <input type="checkbox"/> 轉讓/餽贈 Inheritance/Gift	<input type="checkbox"/> 投資收益 Investment income <input type="checkbox"/> 租售物業 Let/Trade in Property
資產總值: Asset Net Worth:	<input type="checkbox"/> >HK\$25mil (需提供較詳盡訊息 Please Provide further info) *mil 百萬 <input type="checkbox"/> HK\$10mil–HK\$25mil	<input type="checkbox"/> HK\$3mil–HK\$10mil	<input type="checkbox"/> HK\$1mil–HK\$3mil <input type="checkbox"/> <HK\$1mil
5. 投資經驗及風險評估 Investment Experience and Risk Assessment			
投資的經驗及年資 Investment Experience	<input type="checkbox"/> 香港上市證券 Hong Kong Listed Securities <input type="checkbox"/> 中港通證券 China Connect Securities <input type="checkbox"/> 海外市場證券 Overseas Market Securities <input type="checkbox"/> 基金/債券產品 Fund / Bond <input type="checkbox"/> 結構性/債券 Structured/Debt Securities <input type="checkbox"/> 證券衍生產品 Securities Derivatives	Years _____ 年 Years _____ 年 Years _____ 年 Years _____ 年 Years _____ 年 Years _____ 年	

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6. 衍生及結構性投資產品的認識評估 Derivative and Structured Products Knowledge Assessment

懇請閣下回答下列問題並勾選合適的答案，以助我們瞭解閣下對衍生及結構性投資產品之性質及風險的認識。You are kindly requested to complete the following questions by ticking where appropriate in order to facilitate us to appraise whether you understand the nature and risks of derivative and structured investment products.

- ❖ 衍生及結構性投資產品指任何產品，包括但不限於衍生權証、牛熊証、股票掛鈎票據。Derivative and Structured Products mean any products, including but not limited to Derivative warrants, CBBC and equity link notes/instruments.

1. 閣下是否有對衍生及結構性投資產品之特性及風險的認識?

Do you have knowledge in the nature and risks of derivative and structured investment products?

☐ Yes 是 ☐ No 否 (if YES, please provide relevant supporting document proof, 如“是”, 請提供相關證明文件)

2. 閣下是否曾接受有關衍生及結構性投資產品的培訓或修讀相關課程?

Have you ever undergone any training or attended courses on derivative and structured investment products?

☐ Yes 是 ☐ No 否 (if YES, please provide relevant supporting document proof, 如“是”, 請提供相關證明文件)

3. 閣下是否曾經取得衍生及結構性投資產品有關的工作經驗?

Have you ever obtained any working experience related to derivative and structured investment products?

☐ Yes 是 ☐ No 否 (if YES, please provide relevant supporting document proof, 如“是”, 請提供相關證明文件)

4. 於過去 2 年中, 閣下是否曾執行 5 宗或以上與衍生及結構性投資產品有關之交易?

Have you ever executed 5 or more transactions related to derivative and structured investment products over the past 2 years?

☐ Yes 是 ☐ No 否 (if YES, please provide relevant supporting document proof, 如“是”, 請提供相關證明文件)

5. 如閣下於上述全部問題回答“否”，將被視作沒有對衍生及結構性投資產品的認識。請問閣下是否仍有意買賣有關產品?

You will be classified as having no general knowledge in derivative and structured investment products, should you answer “NO” to all the questions above. Would you wish to trade derivative and structured investment products?

☐ Yes 是 ☐ No 否

如閣下沒有與產品相應的投資經驗或認識，客戶需要詳細閱讀客戶協議中的風險披露聲明，及完成“衍生產品基本常識”的培訓。如閣下向我司下達交易指示則被視作已知悉明瞭及接受該投資產品的特性及固有風險。

Should you have no relevant experience and knowledge over a specific type of product, you are required to study the Risk Disclosure Statement provided therein the Client's Agreement, and complete the training of "General Knowledge on Derivatives Products". A placement of dealing instruction will be deemed that you have fully aware, understand and accept the characteristics and inherent risk associated with the relevant investment product.

投資目標 Investment Objective ☐ 利息收入 Interest Income ☐ 資本增長 Capital Appreciation ☐ 套戩 Arbitrage
☐ 投機 Speculation ☐ 對沖 Hedging

預想持有投資年期 Expected Investment Duration ☐ 長 (三年以上) (more than 3yrs) ☐ 中 (一至三年) (1 to 3yrs) ☐ 短 (一年以下) (less than 1yr)

Anticipated Annual Level of Activity: (HKD)

預期按年交易活動總額: (港幣) _____

6. 資料披露 Disclosure of Information

閣下是否任何交易所、交易委員會、結算所、銀行或信托公司代理人、高級人員、員工；或任何引推薦經紀的聯繫人；或任何持有證監會牌照法團的高級人員、合伙人、董事或員工？

Are you an agent, officer or employee of any exchange, board of trade, clearing house, bank or trust company, or an affiliate of any introducing broker, or an officer, partner, director or employee of any corporations licensed under SFC?

☐ 否 NO ☐ 是 YES 如回答是，請提供上述聯繫機構的書面同意函
If yes, please provide a written consent from the above stated affiliated entity.

閣下有沒有親屬於創隆證券有限公司及/或其連繫公司工作？

Are you a relative of employee working with Innovax Securities Limited and/or affiliated entities?

☐ 否 NO ☐ 是 YES 如回答是，請提供該親屬的名字及關係: _____
If yes, please provide the relative's name and the relationship.

請確認及披露閣下是否為創隆證券及/或其所屬集團，根據香港聯合交易所有限公司上市規則所定義的“關連客戶”？如是，請提供詳情。

Please confirm and disclose whether you are a “connected client” as specified therein the Listing Rules of Stock Exchange of Hong Kong of ISL or the group in which ISL is a member? If so,

☐ 否 NO ☐ 是 YES 如回答是，如是，請提供詳情: _____
If yes, please provide the details.

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7. 保證金帳戶需予披露信息 Information Disclosable for Margin Account

閣下的配偶是否創陸證券的個人保證金客戶？

Is your spouse a Margin Account customer of ISL?

☐ 否 NO ☐ 是 YES 如回答是，如是，請提供: (名稱) (帳號)
If yes, please provide: (Name) (Acc No.)

閣下有否個人或聯同閣下的配偶持有任何創陸證券的公司保證金客戶 35%或以上的投票權？

Have you, or jointly with your spouse, in possession with 35% or more voting right of a Corporate Margin Account customers of ISL?

☐ 否 NO ☐ 是 YES 如回答是，如是，請提供: (名稱) (帳號)
If yes, please provide: (Name) (Acc No.)

8. 關於「海外帳戶稅收合規法案」 Foreign Account Tax Compliance Act "FATCA"

您是否符合由美國國稅局(“IRS”)規管，定義所指明的美國人士(包括美國公民/美國居民/美國永久性居民/美國綠卡持有人/僑居美國的外籍人士？

Are you a US Person (including U.S. Citizen / U.S. Resident / U.S. Permanent Resident / U.S. Green Card Holder / U.S. Resident Alien) within the meaning specified in the (“FATCA”) governed by the Internal Revenue Services (“IRS”) of United State of America?

☐ 否 No (如適合，請填寫國稅局發出之W8BEN 表格 where suitable, please complete Form W8BEN of IRS)

☐ 是 Yes (如適合，請填寫國稅局發出之 W9 表格 where suitable, please complete Form W9 of IRS)

(請查閱您是否符合以下IRS 不時對美籍人士的條件)

(Please check if you meet any of the following indices set out by IRS from time to time)

- 美國公民或居民(綠卡持有人)US citizen or resident (Green Card holder)
- 於美國境內出生 US place of birth
- 於美國境內居住或以美國地址為郵寄地址US resident or mailing address
- 以美國電話號碼為聯絡號碼 US telephone number
- 設有常設授權以劃撥資金予美籍人士 Standing instructions to transfer funds to a US based account
- 設有帳戶操作/簽署授權予美籍人士 Power of attorney or signatory authority granted to person with US Person; or
- 以美國地址以託收信件 In care-of or hold mail address that is sole address of account holder

請注意如有需要更改任何影響 FATCA 狀況識別的個人資料，例如公民身份/國籍、地址、電話等，請適時並於指定時間內通知 IRS 及我們有關更改。

Please be reminded that you are responsible for notifying us promptly and within the prescribed timeline of IRS in the case of Change in Circumstances that may affect your FATCA status, such as citizenship/nationality, address, phone number, etc.

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9. 常設授權 (客戶證券) Standing Authority (Client Securities)

1. 本人同意並授權創隆證券及其有關聯實體(按《證券及期貨條例》附表 1 第 1 部之有關定義)可於創隆證券批准本授權當天開始直至及包括隨後十一個月份的最後一天的期間內, 以下列一種或多於一種方式處理不時由創隆證券及/或其任何有關聯實體代本人/吾等購入或持有的證券及證券抵押品, 毋須進一步通知本人或取得本人的同意:
I hereby authorize ISL and each associated entity (as defined in Part 1 of Schedule 1 to the Securities and Futures Ordinance) of ISL to deal with my securities and securities collateral from time to time purchased or held by ISL and/or any associated entity on my/our behalf in one or more of the following ways without further notice to or consent from me.
 - (a) 依據證券借貸協議運用任何有關證券或證券抵押品;
to apply any of my securities or securities collateral to a Securities Borrowing and Lending Agreement;
 - (b) 將任何有關證券抵押品存放於認可財務機構, 作為提供予創隆證券的財務通融抵押品;
to deposit any of the securities collateral with an authorized financial institution as collateral for financial accommodation provided to ISL;
 - (c) 將任何有關證券抵押品存放於獲香港證券及期貨事務監察委員會認可結算所或另一獲發牌或獲註冊進行證券交易仲介人, 作為解除創隆證券在交收上的義務和清償創隆證券在交收上的法律責任的抵押品; 及
to deposit any of the securities collateral with any clearing house recognized under the Securities and Futures Ordinance (such as the HKSCC) or another intermediary licensed or registered for dealing in securities as collateral for the discharge and satisfaction of ISL's clearing and settlement obligations and liabilities; and
 - (d) 於顧及任何適用的法律或監管要求的情況下, 以創隆證券認為適當的方式對待及處理有關證券及證券抵押品。
to treat and deal with the securities and securities collateral in such manner as you consider appropriate taking into account any applicable legal or regulatory requirement from time to time.
2. 本人獲悉及確認創隆證券將客戶的證券及抵押品再質押的做法。
I hereby acknowledge, and confirm having been informed by ISL, that ISL has the practice of repledging clients' securities and securities collateral.
3. 此賦予創隆證券之授權乃鑑於貴行同意繼續維持本人之戶口。
This Authority is given to ISL in consideration of you agreeing to continue to maintain the Account for me.
4. 本常設授權並不涵蓋任何代價。本常設授權並不涵蓋創隆證券借入、貸出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與創隆證券另行簽約訂明。
This Authority does not cover any consideration. I must pay or be paid for the borrowing, lending or depositing any of the securities of mine/ours. Any such consideration must be set in a separate agreement between me and ISL.
5. 本人聲明、承諾及保證, 在本授權持續有效期間, 本人擁有本人的證券的絕對擁有權, 且不附帶任何留置權、押記或產權負擔。
I declare, undertake and warrant that I have the absolute ownership of my securities free from all liens, charges and encumbrances during the continuance in force of this Authority.
6. 本人的證券可能受制於第三者之權利, 創隆證券必須於抵償該等權利後, 方將本人的證券交還本人。
I understand that a third party may have rights to my securities, which ISL must satisfy before my securities can be returned to me.
7. 本常設授權以我們簽署本開戶申請表的日期起計十二個月內有效, 此授權有效期至本年度的十二月三十一日終止。我們有權隨時以三十天書面通知創隆證券撤銷此常設授權書。該項撤銷於創隆證券確實收到撤銷的書面通知當日後第三十日生效, 而且創隆證券按本授權在撤銷生效前所達成的任何交易均不受該項撤銷所影響。創隆證券可在此授權終止不少於14日前或任何由創隆證券以書面形式通知之重新訂立之日期, 創隆證券可向本人發出書面通知提醒本人關於有關終止日期, 而我們於該授權有效期屆滿前未有提出反對續期, 本授權則將被視作以同樣條款重新授權, 有效期為十二個月至下一年度的十二月三十一日。屆時創隆證券將以書面確認有關重新授權。
This Authority is valid for twelve (12) months from the date of us signing this Account Opening Application Form and expires on the 31st day of December of the same year. This Authority may be revoked at any time on giving 30 days prior written notice to ISL. Such revocation shall not take effect until 30 days after the day of actual receipt by ISL of such written notice and it shall not affect any transaction undertaken by ISL pursuant to this Authority prior to the effective date of the revocation. At least 14 days prior to the expiry of this authority, or on any other date as may be determined by ISL and affiliated companies from time to time and notified to me in writing, ISL and affiliated companies may give me a written notice reminding me the impending expiry of this authority and informing us that if I do not object to the renewal of such authority before its expiry, this authority shall be deemed to be renewed on a continuing basis on the same terms and conditions as specified herein for a period of 12 months until 31st December of the following year. ISL and affiliated companies shall then give us a written confirmation of the renewal of the Authority.
8. 本人謹此同意就創隆證券及其所屬的公司集團(《公司條例》(香港法例第622章)所作之定義)內的成員公司(或其中任何一間公司)因執行本授權而可能產生, 蒙受及/或承受的一切虧損、損失、利息、費用、開支、法律訴訟、索求、申索或任何性質的程式向上述公司作出賠償及持續賠償。
I hereby agree to indemnify and to keep indemnified, ISL and the group of companies (as defined in the Companies Ordinance (Cap. 622 of the laws of Hong Kong)) to which ISL belongs (or any of them) from and against all losses, damages, interests, costs, expenses, actions, demands, claims or proceedings of whatsoever nature which they (or any of them) may incur, suffer and/or sustain as a consequence of any transaction undertaken in pursuance of this Authority.
9. 本人確認本授權的內容已向本人解釋, 本人亦完全明白本授權的內容, 並已經或有機會就其內容及效力尋求法律顧問的意見。
I confirm that this Authority has been explained to me and I fully understand the contents of this Authority and have sought, or have had the opportunity to seek, legal advice concerning its contents and effect.
10. 本人明白現時無任何法例規定本人必須簽署此授權書; 然而, 創隆證券可能需要此授權書, 以便例如向本人提供保證金貸款或獲許將有關本人的證券或證券抵押品借出予協力廠商或作為抵押品存放於協力廠商, 該等協力廠商將對本人的證券或證券抵押品具有留置權或作出押記。雖然創隆證券根據本人的授權而借出或存放屬於本人的證券或抵押品須對本人負責, 但創隆證券的失責行為可能導致本人損失本人的證券或抵押品。本人同意並確認創隆證券及其有關聯實體有權收取及保留任何由於處置本人的證券或證券抵押品所產生的任何報酬、收入、回傭或其他利益而無須向本人負責。
I understand that I am not required by any law to sign this authority but it may be required by ISL, for example, to facilitate margin lending to me or to allow my securities or securities collateral to be lent to or deposited as collateral with third parties. I also understand that if I sign this authority and my securities or securities collateral are lent to or deposited with third parties, ISL shall remain responsible to me for securities or securities collateral lent or deposited under my authority, a default by ISL could result in the loss of my securities or securities collateral. I agree and confirm that ISL and its associated entities shall be entitled to receive and retain for their own benefit and not be accountable to me for any remuneration, income, rebates or other benefits resulting from any dealing with my securities or securities collateral.

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11. 常設授權 (客戶款項) Standing Authority (Client Monies)

本人聲明、承認、確認並同意：

I declare, acknowledge, confirm and agree that:

1. 本授權涵蓋創陸證券及其聯繫公司為本人持有或收取並存放於本人所開立的戶口內的款項(包括持有並非屬於創陸證券及其聯繫公司的款項而產生之任何利息)，其戶口權益淨額超過對該戶口的最低保證金要求，該要求會由法律或其他有關監管機構不時規定("款項")。
This Authority covers money held or received by ISL and affiliated companies (including any interest derived from the holding of the money which does not belong to ISL and affiliated companies) in any account maintained by me with ISL and affiliated companies, the net equity balance of which exceeds the minimum margin requirements affecting me or that account, as may from time to time be prescribed by law or any relevant regulatory authority (the "Monies").
2. 除文義另有所指外，本授權內的所有詞句，均與《證券及期貨條例》(香港法例第571章)及《證券及期貨(客戶款項)規則》(香港法例第571I章)不時修訂之定義具有相同意思。
Unless the context otherwise requires, all the expressions used in this Authority shall have the same meanings as in the Securities and Futures Ordinance (Cap. 571 of the Laws of Hong Kong) and the Securities and Futures (Client Money) Rules (Cap. 571I of the Laws of Hong Kong) as amended from time to time.
3. 本授權授權創陸證券及其聯繫公司按其獨有酌情權在無須事先給予本人任何通知或取得本人的確認及/或指示的情況下，轉讓在該帳戶內全部或部份的款項作下列用途：
This Authority authorizes ISL and affiliated companies, in ISL and affiliated companies' sole discretion, without having to provide me with any prior notice or to obtain the prior confirmation from me and/or direction, to transfer from such account the whole or any part of the Monies:
(a) 至本人於創陸證券或其所屬的集團公司內的任何成員公司("創陸集團")所開設及持有的任何獨立帳戶，以執行本人對創陸集團內任何成員的義務或法律責任，不論此等義務和法律責任是確實或突然的、原有或附帶的、有抵押或無抵押的、共同或分別的。
into any segregated account(s) opened and maintained by me with ISL or any company or companies in the same corporate group to which ISL and affiliated companies belongs ("Innovax Group") for the purpose of satisfying my/our obligations or liabilities to any member of the Innovax Group, whether such obligations or liabilities are actual, contingent, primary or collateral, secured or unsecured, or joint or several.
(b) 從創陸集團任何成員維持本人的任何獨立戶口之間來回調動任何數額之款項，用以補足任何保證金要求或結清該戶口中的任何欠款；及/或
interchangeably between any of the segregated accounts that are maintained by me with any of the Innovax Group, for the purpose of satisfying any margin requirement or any amount due under any such account, and/or interchangeably between any of the segregated accounts that are maintained by me with any of the Innovax Group, for the purpose of satisfying any margin requirement or any amount due under any such account, and/or
(c) 存入本人特別指定的銀行戶口內。
into my designated bank account.
4. 轉帳任何數額之款項至任何香港或海外清算行或金融機構的客戶帳戶，將我/我們的款項兌換至任何貨幣，以用於交易、交收或履行我/我們透過清算行或金融機構交易所產生的財務責任。
Transfer any sum of Monies to the client account(s) of any clearing firm(s) or financial institution(s) in Hong Kong or overseas, exchange my/our money into any other currency(ies), for the purpose of trading, settlement or meeting my/our financial obligations arising from my/our trading conducted through that clearing firm(s) or financial institution(s).
5. 本授權並不損害創陸集團可享有有關處理該等有利息戶口內款項的其他授權或權利。
This Authority is given without prejudice to other authorities or rights which the Innovax Group may have in relation to dealing with the Monies in the interest-bearing accounts.
6. 本常設授權以我們簽署本開戶申請表的日期起計十二個月內有效，此授權有效期至本年度的十二月三十一日終止。我們有權隨時以三十天書面通知創陸證券撤銷此常設授權書。該項撤銷於創陸證券確實收到撤銷的書面通知當日後第三十日生效，而且創陸證券按本授權在撤銷生效前所達成的任何交易均不受該項撤銷所影響。創陸證券可在此授權終止不少於14日前或任何由創陸證券以書面形式通知之重新訂立之日期，創陸證券可向本人發出書面通知提醒本人關於有關終止日期，而我們於該授權有效期屆滿前未有提出反對續期，本授權則將被視作以同樣條款重新授權，有效期為十二個月至下一年度的十二月三十一日。屆時創陸證券將以書面確認有關重新授權。
This Authority is valid for twelve (12) months from the date of us signing this Account Opening Application Form and expires on the 31st day of December of the same year. This Authority may be revoked at any time on giving 30 days prior written notice to ISL. Such revocation shall not take effect until 30 days after the day of actual receipt by ISL of such written notice and it shall not affect any transaction undertaken by ISL pursuant to this Authority prior to the effective date of the revocation. At least 14 days prior to the expiry of this authority, or on any other date as may be determined by ISL and affiliated companies from time to time and notified to me in writing, ISL and affiliated companies may give me a written notice reminding me the impending expiry of this authority and informing us that if I do not object to the renewal of such authority before its expiry, this authority shall be deemed to be renewed on a continuing basis on the same terms and conditions as specified herein for a period of 12 months until 31st December of the following year. ISL and affiliated companies shall then give us a written confirmation of the renewal of the Authority.
7. 除文義另有所指外，於此授權內的任何表達形式，均與《證券及期貨條例》或規則中的定義相同。
Unless the context otherwise requires, any expression used in this authority that is defined in the Securities and Futures Ordinance or the Rules is to be given the same meaning when used in this authority.
8. 本人確認本授權的內容已向本人解釋，本人亦完全明白本授權的內容，並已經或有機會就其內容及效力尋求法律顧問的意見。
I confirm that this Authority has been explained to me and I fully understand the contents of this authority and have sought, or have had the opportunity to seek, legal advice concerning its contents and effect.

個人/聯名帳戶開戶表格
Individual/Joint Account Opening Form

帳戶編號: _____
Account Number
Sales Code: _____

12. 聲明及確認 Declarations & Acknowledgements

本人聲明、承認、確認並同意：

I declare, acknowledge, confirm and agree that:

1. 本開戶申請表所載的資料和陳述乃真實、完整及正確，除非創陞證券有限公司(“創陞證券”)接獲吾等發出關於任何變更的書面通知，否則創陞證券有權就一切目的全面信賴該等資料及陳述。創陞證券獲授權隨時聯絡任何人士，包括銀行或任何信用調查機構，以查核此開戶申請表所提供之資料。
The information and representations contained in this Account Opening Form are true, complete and correct, and that Innovax Securities Limited (“ISL”) is entitled to rely fully on such information and representations for all purposes, unless and until ISL receives notice in writing from us of any change. ISL is authorized at any time to contact anyone, including banks, brokers or any credit agency, for the purposes of verifying the information provided on this Account Opening Application Form.
2. 本人，下述簽署客戶明白遞交此開戶申請表及創陞證券接納此開戶申請表並非意味著創陞證券表示同意開立證券帳戶予本人。創陞證券 保留無條件拒絕本人的開戶申請之權力。
I, the undersigned client(s) understand that my submission of this Account Opening Application Form and the acceptance of this Account Opening Application Form by ISL in no way implies approval for opening of the account for the Client and reserves the unconditional right to reject this application.
3. 本人特此聲明，除非另有明確述明，否則本人是最終負責發出指示的人，而且除非另有述明，否則本人是從交易取得商業/經濟利益及/或承擔其商業/經濟風險的最終實益擁有人。
I hereby declare that unless specifically stated otherwise, I am the person who is ultimately responsible for originating the Instructions and unless specifically stated otherwise, I am the ultimate beneficial owner who stands to gain the commercial/economic benefit of the transaction and/or bear the commercial/economic risk.
4. 帳戶以及創陞證券提供之服務，均須受本開戶申請表並受創陞證券不時修訂的客戶協定的條款及條件(合稱「協議書」)所約束。本人確認本人已閱讀和明白協議書，並同意受協議書目前所列的條款及條件所約束。除非上下文另有規定，否則客戶協定所使用和定義的詞語在用於本開戶申請表時具有相同意義。
The Account(s) and the provision of services by ISL are subject to this Account Opening Form and the Terms and Conditions of the Client Agreement as amended by ISL from time to time (together the “Agreement”). I confirm that I have read and understood the Agreement and agree to be bound by the terms and conditions as currently set forth in the Agreement. Unless the context requires otherwise, terms and expressions used and defined in the Agreement shall have the same meaning when used herein.
5. 本人在協議書的期限內不會對帳戶的整體或任何部分設置任何押記、質押或產權負擔。
I will not create any charge, pledge or encumbrance over the whole or any part of the Account(s) during the term of the Agreement.
6. 創陞證券獲授權(但無義務)接受客戶或獲授權人不不論是親身、以書面、電話、傳真、互聯網或任何其它電信方式或電子通訊方式按照客戶協議的規定不時作出的指示並根據該等指示行事。倘若本人希望撤回根據本段作出的授權，本人應以書面方式通知創陞證券，在收到該項書面變更通知之前，創陞證券可依賴任何以傳真、電話、口頭或電子方式作出的指示。
ISL shall be authorized (but not obliged) to accept and act in accordance with any Instructions given by the Client or the Authorized Person(s) either in person, in writing, by telephone, facsimile (“fax”), the internet or any other form of telecommunications or electronic mode of communication made from time to time in accordance with the Client Agreement. In the event that I wish to withdraw the authorisation under this paragraph, I shall notify ISL in writing and until receipt of such notice of change in writing, ISL may rely on any fax, telephone, oral and electronic Instructions given.
7. 鑒於創陞證券同意通過電話、傳真或其它電子方式接受本人的指示，作為對價，對於創陞證券及其董事、高級職員、僱員及代理人按照本協議項下的任何指示行事或沒有行事而招致或遭受的任何損失或責任，本人同意彌償他們，但由於創陞證券的疏忽或違約而導致的損失或責任則除外。
In consideration of ISL agreeing to accept Instructions from us by telephone, facsimile transmission or other electronic means, I agree to indemnify ISL and its directors, officers, employees and agents against any loss or liability that any of them may incur or suffer as a result of any of them acting or failing to act upon any Instruction given under this Agreement, save where due to the negligence or default of ISL.
8. 附隨客戶協議書之風險披露聲明，已由創陞證券之持牌人(《證券及期貨條例》(香港法例第 571 章)所界定的人士)向本人全部解釋清楚。本人已收到一份按本人選擇的語言(英文或中文)的客戶協定及風險披露聲明，且本人確認已獲邀閱讀風險披露聲明、提出問題及諮詢獨立意見。本人進一步確認本人已完全明白客戶協議及風險聲明。
The Risk Disclosure Statements attached to the Client's Agreement have been fully explained to me by a Licensed Person as defined in the Securities and Futures Ordinance (Cap. 571 of the Laws of Hong Kong) of ISL. I confirm that the Risk Disclosure Statements are provided to me in a language chosen by me (English/Chinese). I confirmed that I have been invited to read the Risk Disclosure Statements, to ask questions and to take independent advice. I further confirmed that I fully understood the Client Agreement and the Risk Disclosure Statements.
本人已仔細考慮風險披露聲明，而且瞭解進行投資產品買賣所涉及之高風險。本人已考慮到本人的財務狀況和投資目標，並確認本人之財政能承擔該交易帶來之風險和承受其帶來之任何損失，亦自願確認投資產品買賣是一項對本人合適的買賣方式。
9. I have carefully considered the Risk Disclosure Statements and recognize that trading in investment products involves a high degree of risk. I have considered my financial position and investment objective, I confirm that I am financially able to assume such risks and to sustain any losses resulting from such trading and voluntarily confirm that trading in investment products is a suitable trading vehicle for me.
本人已閱讀和明白附於協議書的個人資料(私隱)條例發出的個人資料通知(「通知」)。本人同意，提供給創陞證券的與任何個人有關的個人資料可能被創陞證券就通知(按其不時經修訂的版本)所述的目的使用，或披露及/或轉移給通知所述的人士。
I have read and understood the Notice on Personal Data pursuant to the Personal Data (Privacy) Ordinance (the “Notice”) attached to the Client's Agreement. I agree that the personal data in relation to any individual(s) provided to ISL may be used, disclosed and/or transferred by ISL for such purposes and to such persons in accordance with the Notice (as amended from time to time).
10. 倘若帳戶為聯名帳戶，本人聲明和確認每名簽署這份開戶申請表的客戶(各稱為「聯名擁有人」)可就帳戶作出指示並與創陞證券進行交易，毋須通知其它聯名擁有人，猶如彼為帳戶的唯一擁有人。
Where the Account is a joint account, I declare and confirm that the undersigned of this Account Opening Form may give Instructions, in respect of the Account and to deal with ISL as if the undersigned alone was the sole owner of the Account without notice to the other joint owner(s).
11. 本人知悉及確認本人必須(i) 遵守因本人簽訂協議書及根據該協議書進行的任何交易而可能產生的任何稅務後果；及(ii) 遵從不時有效的所有適用法律和規例，包括根據本人居住的或居籍所在的或身為其公民的司法管轄區的法律之下與購買、持有及沽售證券或有關合約的資產相關的任何法律規定及外匯限制或管制規定。
I acknowledge and confirm that I must (i) observe any possible tax consequences arising from my entering into the Agreement and any transactions entered pursuant thereto; and (ii) comply with all applicable laws and regulations in force from time to time including any legal requirements and foreign exchange restrictions or exchange control requirements which are relevant to the purchase, holding or disposal of Securities or assets underlying the contract under the laws of the jurisdiction in which I reside, am domiciled or am a citizen.
12. 本人確認創陞證券並不提供稅務或法律意見或建議。
I acknowledge that ISL does not provide, tax or legal advice or recommendations.

本開戶申請表編成中、英文版本，兩種版本之間如有歧義，應以英文版為準。

This Account Opening Form is prepared in both English and Chinese versions, in the event of discrepancy between the versions, the English version shall prevail.

個人/聯名帳戶開戶表格
Individual/Joint Account Opening Form

帳戶編號: _____
Account Number
Sales Code: _____

12. 香港投資者識別碼制度 investor identification regime

本人聲明，承認，確認及同意：

I declare, acknowledge, confirm and agree that:

1. 「券商客戶編碼」"BCAN"
 - (a) 就滬深港通北向交易服務而言，指閣下獲分配的券商客戶編碼；或
means, in the context of the Stock Connect Northbound trading services, Broker-to-Client Assigned Number; or
 - (b) 就證監會的香港投資者識別碼制度和場外證券交易匯報制度（待其生效時）而言，指《操守準則》第 5.6(b)(ii)段（待其生效時）所賦予之涵義；
in the context of the SFC's Hong Kong investor identification regime and over-the-counter securities transactions reporting regime (when it comes into effect), has the meaning given to it in paragraph 5.6(b)(ii) of the Code of Conduct (when it comes into effect);
2. 「客戶識別信息」"CID":
 - (a) 就滬深港通北向交易服務而言，指聯交所不時根據聯交所規則可能要求提供的與閣下相關的識別信息；
means, in the context of the Stock Connect Northbound trading services, such identification information relating to you as SEHK may request from time to time under the Rules of the Exchange of SEHK;
 - (b) 就證監會的香港投資者識別碼制度和場外證券交易匯報制度（待其生效時）而言，指《操守準則》第 5.6(b)(iv)段（待其生效時）所賦予之涵義；
in the context of the SFC's Hong Kong investor identification regime and over-the-counter securities transactions reporting regime (when it comes into effect), has the meaning given to it in paragraph 5.6(b)(iv) of the Code of Conduct (when it comes into effect);
3. 當證監會的香港投資者識別碼制度和場外證券交易匯報制度（視情況而定）生效時，本公司為了向閣下提供與在聯交所上市或買賣證券相關服務，以及為了遵守不時生效的聯交所與證監會的規則和規定，我們可收集、儲存、處理、使用、披露及轉移與閣下有關係的個人資料（包括閣下的客戶識別信息和券商客戶編碼）。在不限制以上內容的前提下，當中包括：
when the SFC's Hong Kong investor identification regime or over-the-counter securities transactions reporting regime comes into effect (as the case may be), collecting, storing, processing, using, disclosing and transferring 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 SEHK and for complying with the rules and requirements of SEHK and the SFC in effect from time to time. Without limiting the foregoing, this includes:
 - (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）；
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) 允許聯交所：
allowing SEHK to
 - (i) 收集、儲存、處理和使用閣下的個人資料（包括客戶識別信息和券商客戶編碼），以監督和監控市場以及執行聯交所規則；
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;
 - (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
disclose and transfer such information to the relevant regulators and law enforcement agencies in Hong Kong (including, but not limited to, the SFC) to facilitate the performance of their statutory functions with respect to the Hong Kong financial markets; and
 - (iii) 為監察市場目的而使用有關資料進行分析；
use such information for conducting analysis for the purposes of market oversight;
 - (c) 允許證監會：
allowing the SFC to
 - (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
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) 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；
disclose and transfer such information to relevant regulators and law enforcement agencies in Hong Kong in accordance with applicable laws or regulatory requirement;
 - (d) 向香港中央結算有限公司（香港結算）提供券商客戶編碼以允許香港結算：
providing BCAN to Hong Kong Securities Clearing Company Limited (HKSCC) allowing HKSCC to:
 - (i) 從聯交所取得、處理及儲存允許披露及轉移給香港結算屬於閣下的客戶識別信息，及向發行人的股份過戶登記處轉移閣下的客戶識別信息，以便核實閣下未就相關股份認購進行重複申請，以及便利首次公開招股抽籤及首次公開招股結算程序；及
retrieve from SEHK (which is allowed to disclose and transfer to HKSCC), process and store your CID and transfer your CID to the issuer's share registrar to enable HKSCC and/ or the issuer's share registrar to verify that you have 3 not made any duplicate applications for the relevant share subscription and to facilitate IPO balloting and IPO settlement; and
 - (ii) 處理及儲存閣下的客戶識別信息，及向發行人、發行人的股份過戶登記處、證監會、聯交所及其他公開招股的有關各方轉移閣下的客戶識別信息，以便處理閣下對有關股份認購的申請，或為載於公開招股發行人的招股章程的任何其他目的；
process and store your CID and transfer your CID to the issuer, the issuer's share registrar, the SFC, SEHK and any other party involved in the IPO for the purposes of processing your application for the relevant share subscription or any other purpose set out in the IPO issuer's prospectus.;
4. 任何與上述目的相關或其附帶的目的。
any purpose relating to or incidental to the purposes listed above.

個人/聯名帳戶開戶表格
Individual/Joint Account Opening Form

帳戶編號: _____
Account Number
Sales Code: _____

13. 客戶簽署確認 Client Signature

本人確認已閱讀本開戶申請表（尤其是常設授權（客戶證券）、常設授權（客戶款項）、聲明及確認及客戶協議書的條款）及條件。本人亦確認已完全明白上述檔的內容，並已經或有機會就其內容及效力尋求法律顧問的意見。本人特此接受並同意受該等檔的約束。

I confirm I have read through this Account Opening Application Form (in particular the Standing Authority (Client Securities), Standing Authority (Client Monies), Declaration and Acknowledgements), and the terms and conditions of the Client's Agreement. I also confirm that I fully understood the contents of the aforementioned documents and have sought, or have had the opportunity to seek legal advice concerning their contents and effect. I hereby accept and agree to be bound by the same.

SIGNED, SEALED AND DELIVERED

簽署、蓋章及交付

Signature of Account Holder: X

帳戶持有人簽署: _____

Name in Block Letter

姓名正楷: _____

Date

日期: _____

*Client Signature will be used to verify all written instructions given relating to the operation of the Account.

*上述客戶簽名樣式將被用作核證任何就帳戶運作之書面指示。

14. 見證人見證 Witness Declaration

本人以見證人的身份確認，本人已適切的見證客戶本人及驗證其身份證明文件，除非有關見證及驗證是其他由被認可的見證人及驗證人進行。

I hereby declare as a Witness that I have witness the client in persona and have verified the relevant identification document, unless the Witness and Certification are otherwise performed by eligible Witness and Certifier.

X			
見證人簽名 Signature of Witness	中央編號 CE No.	姓名 Name of Witness	日期 Date

15. 員工聲明（僅供內部使用） Declaration by Staff (For Internal Use Only)

本人為創隆證券(或聯繫公司)的持牌代表，現聲明我已按客戶選擇的語言提供附隨客戶協議書的風險披露聲明，並已邀請該名客戶閱讀風險披露聲明，及按其意願提出問題和諮詢獨立意見。

I am a Licensed Representative ISL (or affiliated company), declare that I have provided the Risk Disclosure Statements attached to the Client's Agreement in a language at the client(s)'s choice (English or Chinese), and have invited the above-mentioned client(s) to read the Risk Disclosure Statements, asked the client questions and to take independent advice if the client(s) so wishes.

X			
持牌代表簽字 Signature of Licensed Rep.	中央編號 CE No.	姓名 Name of Witness	日期 Date