

Yellow River Securities Limited is licensed to carry on Type Yellow River Securities Limited regulated activity under the SFO (CE No.: Yellow River Securities Limited).
 黃河證券有限公司 根據證券及期貨條例獲發牌經營第一類受規管活動(證券交易)(中央編號: BIX927)

【地址】RM 2701B,TOWER 1,27F,ADMIRALTY CENTER 18 HARCOURT ROAD,ADMIRALTY HK

【website】www.yrsl.com.hk 【Tel】38992700

ACCOUNT OPENING FORM (CORPORATE ACCOUNT) 開戶表格 (公司帳戶)

For Internal Use Only 只供內部使用

Account Opening Date	
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開戶日期	_____
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A. CORPORATE INFORMATION 公司資料

Company Name (English)	Company Name (Chinese)
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公司名稱(英文):	公司名稱(中文):
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Type of Company 公司類別:

Sole Proprietorship 獨資經營

Limited Company 有限公司

Listed Company 上市公司

Partnerships 合夥企業

Trust 信託

Other 其他: _____

Registered Address

註冊地址:

Business Address

業務地址:

Correspondence Address

通訊地址:

E-mail Address (for internet trading and receipt of e-statements (if applicable))

電郵地址 (適用於經網上交易及收取電子結單 (如適用)):

Office Mobile Phone No. (applicable for trading via APP)

辦公室手提電話號碼 (適用於經APP交易):

Certificate of Incorporation No.

公司註冊編號:

Business Registration No.

商業登記編號:

Country of Incorporation

註冊國家:

Date of Incorporation

註冊成立日期:

Nature of Business

業務性質:

No. of Years in the Business

經營業務年期:

Office Phone No.

辦公室電話號碼:

Office Fax No.

辦公室傳真號碼:

Contact Person's Name

聯絡人姓名:

Contact Person's Phone No.

聯絡人電話號碼:

Contact Person's E-mail Address

聯絡人電郵地址:

B. FINANCIAL PROFILE 財務狀況

Annual Profit after tax based on the latest audited financial statement (HKD) 最近期經審核財務報表之年度稅後純利 (港幣):

\$0 – \$500,000

\$500,001 – \$1,000,000

\$1,000,001 – \$5,000,000

\$5,000,001 – \$10,000,000

>\$10,000,000

(Please

specify

請

註

明

:

Net Assets based on the latest audited financial statement (HKD) 最近期經審核財務報表之淨資產 (港幣):

\$0 – \$1,000,000

\$1,000,001 – \$5,000,000

\$5,000,001 – \$10,000,000

\$10,000,001 – \$40,000,000

>\$40,000,000

(Please specify 請註明: _____)

Source of Funds:

資金來源:

Business Income 營業收入

Return on Investment 投資回報

Financial Loan 財務借貸

Others 其他: _____

Source of Wealth:

財富來源:

Business Income 營業收入

Investment by Shareholders 股東投資

Sale of Properties/Assets 出售物業/資產

Others 其他: _____

C. INVESTMENT PROFILE 投資狀況

Investment Objective:

投資目的:

Dividend Income 股息收入

Capital Appreciation 資本增值

Speculation 投機

Others 其他: _____

Investment Horizon:

投資年期:

Short Term 短期

Medium Term 中期

Long Term 長期

Anticipated Total Investment Per Year (HKD)

預計每年投資金額 (港幣): _____

Anticipated Number of Transactions Per Month

預計每月交易次數: _____

D. INVESTMENT EXPERIENCE AND KNOWLEDGE 投資經驗及知識**Investment Products and Investment Experience 曾買賣產品及投資經驗**

Shares 股票:	<input type="checkbox"/> < 1 year 少於一年	<input type="checkbox"/> 1-5 years 一至五年	<input type="checkbox"/> 6-10 years 六至十年	<input type="checkbox"/> > 10 years 多於十年
Index Options /Futures 指數期權/期貨:	<input type="checkbox"/> < 1 year 少於一年	<input type="checkbox"/> 1-5 years 一至五年	<input type="checkbox"/> 6-10 years 六至十年	<input type="checkbox"/> > 10 years 多於十年
Warrants / Stock Options 認股證/股票期權:	<input type="checkbox"/> < 1 year 少於一年	<input type="checkbox"/> 1-5 years 一至五年	<input type="checkbox"/> 6-10 years 六至十年	<input type="checkbox"/> > 10 years 多於十年
FX/Bullion 外幣/黃金:	<input type="checkbox"/> < 1 year 少於一年	<input type="checkbox"/> 1-5 years 一至五年	<input type="checkbox"/> 6-10 years 六至十年	<input type="checkbox"/> > 10 years 多於十年
Structured Investment Products 結構性產品:	<input type="checkbox"/> < 1 year 少於一年	<input type="checkbox"/> 1-5 years 一至五年	<input type="checkbox"/> 6-10 years 六至十年	<input type="checkbox"/> > 10 years 多於十年
Mutual Funds 互惠基金:	<input type="checkbox"/> < 1 year 少於一年	<input type="checkbox"/> 1-5 years 一至五年	<input type="checkbox"/> 6-10 years 六至十年	<input type="checkbox"/> > 10 years 多於十年
Bonds 債券:	<input type="checkbox"/> < 1 year 少於一年	<input type="checkbox"/> 1-5 years 一至五年	<input type="checkbox"/> 6-10 years 六至十年	<input type="checkbox"/> > 10 years 多於十年

Knowledge of Derivative / Complex Products 衍生/複雜產品¹的認識

1. Do your company want to trade derivatives? If yes, please answer the second question 貴公司是否有意進行衍生品的買賣? 若是, 請回答第 2 個問題
 Yes 是 No 否

2. Do the person who ultimately controls the Account or makes investment decisions for the company have any relevant trading experience in the following derivatives? 最終控制帳戶或為本公司作投資決定的該人仕是否有以下衍生品相關經驗?

- a) The person who ultimately controls the Account or makes investment decisions for the company underwent training or attended courses on derivative / complex products; and/or
最終控制帳戶或為本公司作投資決定的該人仕曾接受有關衍生/複雜產品的培訓或修讀相關課程; 及/或
- b) The person who ultimately controls the Account or makes investment decisions for the company has current or previous work experience related to derivative / complex products; and/or
最終控制帳戶或為本公司作投資決定的該人仕現時或過去擁有與衍生/複雜產品有關的工作經驗; 及/或
- c) The person who ultimately controls the Account or makes investment decisions for the company has executed five or more transactions within the past three years in derivative products, e.g. Derivative Warrants, Callable Bull/Bear Contracts, Stock Options, Futures and Options, Commodities, Structured Products, and Exchange Traded Funds, etc.
最終控制帳戶或為本公司作投資決定的該人仕於過去 3 年曾執行 5 次或以上有關衍生產品的交易, 例如: 衍生權證、牛熊證、股票期權、期貨及期權、商品、結構性產品及交易所買賣基金等。

The person who ultimately controls the Account or makes investment decisions for the company have the above experience and/or knowledge on derivative product(s).

The person who ultimately controls the Account or makes investment decisions for the company do not have the above experience and/or knowledge on derivative product(s), but your company confirm that it fully read, agreed and understood the relevant risks of the derivative product(s). The person who ultimately controls the Account or makes investment decisions for the company understand that it has to acquire enough understanding on derivative product(s) before trading them and it fully accept all relevant risks.

最終控制帳戶或為本公司作投資決定的該人仕沒有上述經驗, 但貴公司已細閱、同意及明白所有關於衍生產品的風險聲明, 最終控制帳戶或為本公司作投資決定的該人仕明白於買賣有關衍生產品前必須先具備足夠的認識, 並願意接受一切有關的風險。

黃河證券有限公司 has accessed the person who ultimately controls the Account or makes investment decisions for the company based on the information provided above, and have notified the person who ultimately controls the Account or makes investment decisions for the company that it is compulsory to understand the derivative products before trading them. Yellow River Securities Limited has also warned the Client about the nature and risk of the derivative products.

黃河證券有限公司已根據以上的資料對客戶進行評估, 並已通知客戶買賣有關衍生產品前必須先具備足夠的認識, 及提示客戶有關衍生產品之性質及風險。

E. DESIGNATED BANK ACCOUNT (WITHDRAWAL OF FUNDS) 指定銀行帳戶 (提取款項)

The following bank account(s) is(are) hereby designated by us as the bank account for the purpose of withdrawal of funds. We hereby instruct and authorize Yellow River Securities Limited to deposit any or all funds payable to us into the following bank account(s). We agreed that Yellow River Securities Limited should not be held liable for any loss, expenses or damages suffered by us as a result of any delay in depositing such payments caused by any reasons whatsoever.

吾等謹此指定以下的銀行帳戶作為提取款項用途的銀行帳戶。吾等謹此指示及授權黃河證券有限公司將任何或所有應付予吾等之款項存入以下銀行帳戶。吾等同意黃河證券有限公司一概不應對基於任何原因而延遲存入款項令吾等蒙受的任何損失、費用或賠償承擔任何責任。

Currency 貨幣	Name of Bank 銀行名稱	Account No 帳戶號碼	Name of Account Holder 帳戶持有人名稱	Country of Receiving Bank 收款銀行所在國家
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¹ Derivative products included derivative warrants, callable bull/bear contracts, exchange traded funds and equity linked instruments.

衍生產品包括衍生權證、牛熊證、交易所買賣基金及股票掛鈎票據。

F. CORPORATE STRUCTURE 公司結構**F1. PARTICULARS OF ALL DIRECTORS 所有董事的資料**

	Name 姓名	Nationality 國籍	ID Card/Passport No. 身份證/護照號碼	Residential Address 住宅地址	Phone No. 電話號碼
1					
2					
3					
4					
5					

F2. PARTICULARS OF ALL SHAREHOLDERS (not applicable to listed company) 所有股東的資料 (上市公司不適用)

	Name 姓名	Nationality 國籍	ID Card/Passport No. 身份證/護照號碼	Shareholding % 股權百分比	Is the Shareholder a U.S. Person ² ? 股東是一位美國人仕 ² ?
1					<input type="checkbox"/> No 不是 <input type="checkbox"/> Yes 是
2					<input type="checkbox"/> No 不是 <input type="checkbox"/> Yes 是
3					<input type="checkbox"/> No 不是 <input type="checkbox"/> Yes 是
4					<input type="checkbox"/> No 不是 <input type="checkbox"/> Yes 是
5					<input type="checkbox"/> No 不是 <input type="checkbox"/> Yes 是

G. TRADING AUTHORIZATION 交易授權

The following person(s) is/are authorized on behalf of the Company to give written and/or oral trading instructions and specimen signatures appearing against their names are the true signatures of the authorized person(s):

本公司現授權下列人仕代表本公司以書面及/或口頭發出交易指示，而授權人仕之真實簽名樣本已於其姓名旁邊顯示：

	Name of Authorized Person(s) 獲授權人仕姓名	Nationality 國籍	ID Card/Passport No. 身份證/護照號碼	Phone No. 電話號碼	Specimen Signature 簽名式樣
1					
2					
3					
4					
5					

² U.S. Person means U.S. Citizen, U.S. Resident, a holder of U.S. Passport or Green Card.
美國人士即指美國公民、美國居民、美國護照或綠卡持有人。

H. SIGNING ARRANGEMENT 簽名安排

Any _____ of the following person(s) is/are authorized to deposit/withdraw funds/shares to/from the Account, give settlement instructions and any other instructions on behalf of the Company and specimen signatures appearing against their names are the true signatures of the authorized person(s):

以下任何_____位授權人仕簽署均可代表本公司對帳戶進行資金/股票儲存/提取，發出清算指令和其他有關帳戶的指令，而獲授權人仕之真實簽名樣本已於其姓名旁邊顯示：

	Name of Authorized Person(s) 獲授權人仕姓名	Nationality 國籍	ID Card/Passport No. 身份證/護照號碼	Phone No. 電話號碼	Specimen Signature 簽名式樣
1					
2					
3					
4					
5					

I. DISCLOSURE OF INFORMATION 資料披露

Does your company maintain any other account(s) with Yellow River Securities Limited?

貴公司現時是否持有黃河證券有限公司任何其他帳戶？

No 否 Yes 是 (If yes, please specify 如是，請註明：_____)

Do any of your directors, partners or shareholders have any relationships with director(s) or employee(s) of Yellow River Securities Limited?

貴公司的董事、合夥人或股東是否與黃河證券有限公司的董事或僱員有任何親屬關係？

No 否 Yes 是 (If yes, please specify 如是，請註明：_____)

Are your directors, partners or shareholders of any Licensed/Registered Person of the Securities and Futures Commission (“SFC”) or an Exchange Participant?

貴公司的董事、合夥人或股東是否證券及期貨事務監察委員會「證監會」持牌人/註冊人或交易所參與者的董事？

No 否 Yes. Please provide the relevant Licensed Corporation / Registered Institution Employer’s consent letter. 是。請提供涉及持牌公司/註冊機構的僱主書面同意書。

Name of Directors, Partners or Shareholders 董事、合夥人或股東的姓名

Name of Licensed/Registered Person of the SFC or an Exchange Participant 證監會持牌人/註冊人或交易所參與者的姓名

Is any of your directors, partners, shareholders or his spouse, partner, children, parents, spouse or partner of his children, close associate is a “Politically Exposed Person” (“PEP”)(i.e. an individual is or has been entrusted with a prominent public function in any place and/or any international organization, including but not limited to a head of state, head of government, senior politician, senior government, judicial or military official, senior executive of a state-owned corporation and an important political party official) ?

貴公司的董事、合夥人、股東、或其配偶、伴侶、子女、父母、子女之配偶或伴侶、或與其關係密切的人仕是否「政治人物」(即該人仕在任何地方及/或任何國際組織擔任或曾擔任重要公職，包括但不限於國家元首、政府首長、資深從政者、高級政府、司法或軍事官員、國有企業高級行政人員及重要政黨幹事)？

No 否 Yes 是 (If yes, please specify 如是，請註明：_____)

Is your company (i) the ultimate beneficial owner of the Account, (ii) ultimately benefiting from the transactions and bearing the risks for the Account, or (iii) ultimately responsible for originating instructions for the Account?

貴公司戶是否(i)帳戶的最終實益擁有人(ii)帳戶的最終受益於交易及承擔風險人仕/(iii)帳戶的最終負責發出指示的人仕？

Yes 是 No 否 (If no, please complete Section L. 如否，請填寫 L 部分。)

J. (i) ULTIMATE BENEFICIAL OWNER/ (ii) PERSON ULTIMATELY BENEFITING FROM THE TRANSACTIONS AND BEARING THE RISKS/ (iii) PERSON ULTIMATELY RESPONSIBLE FOR ORIGINATING INSTRUCTIONS (i) 最終實益擁有人/ (ii) 最終受益於交易及承擔風險人仕/ (iii) 最終負責發出指示的人仕		
	<input type="checkbox"/> Ultimate beneficial owner 最終實益擁有人 <input type="checkbox"/> Person ultimately benefiting from the transactions and bearing the risks 最終受益於交易及承擔風險人仕 <input type="checkbox"/> Person ultimately responsible for originating instructions 最終負責發出指示的人仕	<input type="checkbox"/> Ultimate beneficial owner 最終實益擁有人 <input type="checkbox"/> Person ultimately benefiting from the transactions and bearing the risks 最終受益於交易及承擔風險人仕 <input type="checkbox"/> Person ultimately responsible for originating instructions 最終負責發出指示的人仕
English Name 英文姓名:		
Chinese Name 中文姓名:		
ID Card/Passport No. 身份證/護照號碼:		
Nationality 國籍:		
Are you a U.S Person? 閣下是否美國人?		
Residential Address 住宅地址:		
Permanent Address 永久地址:		
Correspondence Address 通訊地址:		
Phone No. 電話號碼		
Control % 所佔控制權百分比:		

K. RECEIVE DIRECT SALES MARKETING MATERIALS 接收直銷推廣

Your Company consent Yellow River Securities Limited to use his/her personal data in direct marketing via the following channel(s) (please use “√” to select the channel(s)):-

貴公司同意黃河證券有限公司使用其個人資料經以下管道作直銷推廣 (請以 “√” 選擇管道):-

Electronic Channels 電子管道 Mail 郵件 Personal Call 專人電話

If your Company returns this Form without ticking any of the above boxes, it means that your Company wishes to opt-out from any form of Yellow River Securities Limited's

direct marketing. 如客戶沒有在以上任何方格內以 “√” 號顯示其選擇，即代表客戶拒絕黃河證券有限公司任何形式的直銷推廣。

L. ACKNOWLEDGEMENT, UNDERTAKING AND SIGNATURE 確認、承諾及聲明

We hereby acknowledged and undertook that:
 吾等謹此確認及承諾:

- The information provided in this Account Opening Form is true, correct and complete, and we have not willfully withheld any material fact(s). We authorize Yellow River Securities Limited to verify the information from any source that Yellow River Securities Limited considered appropriate, including performing any credit checks on us. Yellow River Securities Limited is entitled to rely fully on such information and representations for all purposes, unless Yellow River Securities Limited receives notice in writing of any change. We confirm and undertake that we will notify Yellow River Securities Limited in writing on any changes within fourteen (14) days.
 本開戶表格中所提供的資料均屬真實、完整及準確無訛，及吾等並未刻意隱瞞任何重要事實。吾等授權黃河證券有限公司可向任何黃河證券有限公司認為適當的資料來源確定和查證，包括進行任何對於吾等的信貸查證。除非黃河證券有限公司收到任何資料改變的收書面通知，黃河證券有限公司可完全依據這些資料及陳述，作任何用途。吾等確認及承諾，如所提供之資料有任何更改，均會於十四(14)天內以面通知黃河證券有限公司。

M. ACKNOWLEDGEMENT, UNDERTAKING AND SIGNATURE 確認、承諾及聲明

- We have received, read and understood the terms and conditions of Client Agreement, including but not limited to Margin Client Agreement (Securities Trading Account) and Personal Information Collection Statement (“the Agreements”) applicable to us. We apply to open the above type(s) of Account(s) and agree to be bound by the terms and conditions of Agreements. Yellow River Securities Limited has the absolute right to change, amend, delete or substitute any terms and conditions of the Agreements from time to time without needing to give us of such notice. Such changes, amendment, deletion or substitution shall be deemed as effective and incorporated therein (and shall form part of the Agreement) on the date of publication or issue of such notice. Unless Yellow River Securities Limited has received our request to close the Account(s), if we continue to use the Account(s), we shall be deemed to have accepted such change, amendment, deletion or substitution.
 吾等已收取、閱讀及明白客戶協議書，包括但不限於融資客戶協議書及個人資料收集聲明(「協議書」)的條款及細則。吾等申請開立上述類別的帳戶，並同意及接納協議書的條款及細則約束。黃河證券有限公司有絕對酌情權不時修訂、更改、刪減或取代協議書的條款及細則，並不用向吾等發出通知。該修訂、更改、刪減或取代的條款及細則將於相關通知刊載之日起生效，並被視為納入本協議書內。除非黃河證券有限公司收到吾等取消帳戶通知，否則表示吾等接納該更改條款及細則。

- We confirm that Risk Disclosure Statements as contained in the Agreements have been provided to us in the language of our choice (English or Chinese), we have been invited to read such Risk Disclosure Statements, to ask questions relating thereto and to seek any independent advice if we wish before signing this Account Opening Form. We further understand that the Risk Disclosure Statements do not purport to disclose or explain all the risks and other important aspects of trading in financial products concerned, and we have been advised not to engage in trading in financial products unless we understand the nature and risk of such financial products. We should carefully consider whether trading in relevant financial products is appropriate for us in light of our investment objectives, experience, risk appetite and financial resources, and we are advised to seek independent and professional advice.
吾等確認已按照吾等所選擇語言(英文或中文)獲提供協議書的風險披露聲明,且已獲邀在簽署本開戶表格前,閱讀該風險披露聲明、提出問題及徵求獨立的意見(如吾等有此意願)。吾等進一步明白該風險披露聲明並未能披露或解釋涉及金融產品交易的所有風險或其他重要事項,除非吾等明白所進行金融產品交易之性質及其風險程度,吾等已被建議不應進行該金融產品的交易。吾等應根據其投資目標、經驗、風險承受能力、財政資源小心考慮進行相關金融產品之交易是否適合吾等,且吾等如有疑問應尋求獨立及專業的意見。
- We acknowledge and confirm that we have carefully read and fully understood the Schedule 1 of the Agreements concerning Risk Disclosure Statement, especially nature and risks of Derivative Products. We further confirm and declare that the licensed representative of Yellow River Securities Limited has fully explained the Schedule 1 of the Agreements to us in the plain languages of our choice. If we decide to trade Derivative Products, we shall understand the nature and risks of Derivative Products and has sufficient net worth to be able to assume the risks and bear the potential losses of trading in Derivative Products. Yellow River Securities Limited has not solicited or provided recommendations to a client on trading in Derivative Products if he does not have any knowledge or experience in trading in Derivative Products.
吾等承認並確認,吾等已細閱及完全明白協議書附表一內關於衍生產品的風險披露聲明,特別是衍生產品的性質及風險。吾等進一步確認黃河證券有限公司的持牌代表已按照吾等所選擇的淺白語言向吾等詳細解釋協議書附表一內的條款。假如吾等打算買賣衍生產品,吾等應明白衍生產品的性質及風險,並有足夠的淨資產來承擔因買賣衍生產品而可能招致的風險和損失。假如客戶並沒有衍生工具產品的任何知識或經驗,黃河證券有限公司不會向客戶就衍生產品作出建議或招攬行為。
- According to the provision of Foreign Account Tax Compliance Act (“FATCA”), we give consent to Yellow River Securities Limited to report our corporate information to the U.S. Internal Revenue Service or other relevant tax authorities in order to comply with the provisions of FATCA. We understand and acknowledge that Yellow River Securities Limited may suffer loss or incur penalty and/or damage if the information provided in “Entity Self-Certification Form (FATCA and CRS)” is or proves to be incorrect, false or misleading when made. We agreed to indemnify Yellow River Securities Limited on demand for such loss, penalty and/or damage. We agree that we will notify Yellow River Securities Limited in writing within 14 days of any of change of our U.S. tax status.
根據海外帳戶稅收合規法案(「FATCA」)的條文,吾等同意黃河證券有限公司將吾等的公司資料匯報予美國國家稅務局或其他有關稅務當局,以遵從 FATCA 的條文。吾等知道及確認,倘若所載於“實體自我證明表格(海外帳戶稅收合規法案及共同匯報標準)”是或被證明是不正確、虛假或具誤導性,黃河證券有限公司可能因此蒙受損失或招致刑罰及/或損害。吾等就所有該等損失、刑罰及/或損害對黃河證券有限公司作出補償。吾等同意,倘若吾等的美國稅務狀況有任何改變,吾等於 14 天內以書面方式通告黃河證券有限公司。
- According to the provision of Common Reporting Standard (“CRS”), “Tax Residents of Reportable Jurisdictions” refer to those who are liable to tax by reason of residence in the jurisdictions. In general, whether or not an individual is a tax resident of a jurisdiction is determined by having regard to the person’s physical presence or stay in a place (e.g. whether over 183 days within a tax year). Yellow River Securities Limited will request a self-certification and/or other relevant documentation in order to establish our tax residence for automatic exchange of account information purposes. If there is any change in circumstances that would affect our tax residence or there is a reason for Yellow River Securities Limited to know that the self-certification is incorrect or unreliable, Yellow River Securities Limited reserves the right to request and we have the obligation to provide a new self-certification and/or additional documentation. As an account holder, we shall be deemed to acknowledge that further information may need to be provided to Yellow River Securities Limited. Yellow River Securities Limited’s compliance with the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112) and/or guidance may result in gathering, storing, using, and processing our information. Our information may also be disclosed to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region, which is further exchanged with tax authorities of another jurisdiction or jurisdictions in which we may be resident for tax purposes. Where we fail to provide any requested information (regardless of the consequences), Yellow River Securities Limited reserves the right to take any action and/or pursue all remedies at its disposal including, without limitation to restrict or terminate the operation of the account. We also agree to inform Yellow River Securities Limited in writing within fourteen (14) days upon any changes in the information provided in the “Entity Self-Certification Form (FATCA and CRS)”. We understood and acknowledged that Yellow River Securities Limited may suffer loss or incur penalty and/or damage if such information provided is or proves to be incorrect, false or misleading when made. We agreed to indemnify Yellow River Securities Limited on demand for such loss, penalty and/or damage.
根據共同匯報標準(「CRS」)的條文,「申報稅務管轄區的稅務居民」是指該些在相關稅務管轄區因其居民身分而有繳稅責任的人。一般而言,要斷定某人是否屬一個稅務管轄區的稅務居民,會根據該人身處之地或逗留於該地的時間(例如一個課稅年度超過 183 天)。黃河證券有限公司要求吾等提供自我證明或其他檔以揭示吾等納稅所在地,以作自動交換帳戶資料用途。如吾等因任何情況而影響吾等的納稅所在地,或令黃河證券有限公司有理由相信吾等之自我證明有不正確或不可靠時,黃河證券有限公司保留權利可要求吾等遞交新的自我證明及/或額外文件。作為帳戶持有人,吾等承諾及同意向黃河證券有限公司提供進一步的資料。黃河證券有限公司為遵守香港《稅務條例》(第 112 章)有關交換財務帳戶資料的法律條文及/或指引,可能導致收集、儲存、使用及處理吾等的資料。吾等的資料亦可向香港特別行政區政府稅務局披露,從而把資料轉交到吾等的居留司法管轄區的稅務當局。如果吾等未能提供任何所要求的資料,黃河證券有限公司保留採取任何補救措施的權利,包括(但不限於)限制及終止帳戶的運作。吾等同意,若吾等所載於“實體自我證明表格(海外帳戶稅收合規法案及共同匯報標準)”有任何變更,會於十四(14)天內以書面通知黃河證券有限公司。吾等知道及確認,倘若該等資料是或被證明是不正確、虛假或具誤導性,黃河證券有限公司可能因此蒙受損失或招致刑罰及/或損害。吾等就所有該等損失、刑罰及/或損害對黃河證券有限公司作出彌償。
- We shall apply to Yellow River Securities Limited in accordance with Securities and Futures (Client Money) Rules (Chapter 571I of the Hong Kong Laws) & Securities and Futures (Customer Securities) Rules (Chapter 571H of the Hong Kong Laws) and Client Agreement (including its appendix and schedule). A permanent authorization is issued to authorize Yellow River Securities Limited to deal with the assets in our account and the securities pledged to Yellow River Securities Limited in accordance with the a forementioned laws and agreements and in accordance with the relevant part of Section 3, “Terms and Conditions” (the “Relevant Standing Authority”). We acknowledges and confirms that the contents and effects of the Relevant Standing Authority have been explained to the us, and we fully understands:- (i) the contents and effects of the Relevant Standing Authority; and (ii) We hereby authorizes Yellow River Securities Limited to renew the Relevant Standing Authority at their absolute discretion. The Standing Authority (Client Securities) is applicable to the Margin A/C Clients. We acknowledges and confirms

the Relevant Standing Authority is required to be renewed annually. We has authorized Yellow River Securities Limited to renew the Relevant Standing Authority annually and we has the choice to reject the renewal. If no written objection is received by mail from the Client, it means we agrees and accepts the extension and to be bound by the renewed Relevant Standing Authority.

吾等根據《證券及期貨(客戶款項)規則》(香港法例 571I 章)、《證券及期貨(客戶證券)規則》(香港法例 571H 章)及客戶協議書(包括其附件和附表)向黃河證券有限公司做出常設授權, 授權黃河證券有限公司按照前述法例及協議處理吾等的賬戶內的資產和抵押予長橋的證券。吾等謹此知悉及確認, 已根據《交易帳戶條款及條件》內第三章之適用部分(“適用常設授權”), 授權黃河證券有限公司處置客戶的金錢、證券、抵押品(其定義見《條款及條件》之相關章節)及保證金(其定義見《條款及條件》之相關章節)。吾等知悉及確認適用常設授權的內容及作用已獲清楚解釋, 而吾等亦完全明白(i)適用常設授權的內容及作用;及(ii)吾等已授權黃河證券有限公司有絕對的酌情權延續適用常設授權。常設授權(客戶證券)適用於保證金帳戶。吾等知悉及確認適用常設授權每年需延續一次。吾等已授權黃河證券有限公司每年延續適用常設授權, 吾等已知悉吾等可提出反對。如黃河證券有限公司未收到客戶書面反對, 則表示吾等同意及接受延續適用常設授權並繼續受其約束。

- We agree that Yellow River Securities Limited may contact us via telephone or e-mail from time to time, for the purpose of improving client communication and delivering better quality customer service.
吾等同意黃河證券有限公司可以不時以電話或電郵聯絡吾等, 以改善客戶溝通及提供更優質客戶服務為目的。
- We understand and agree that Yellow River Securities Limited can suspend the Account and request us to provide more information in case if there is any abnormal or suspicious activities in the Account.
吾等明白及同意, 若帳戶有任何不正常或可疑活動, 黃河證券有限公司可以凍結帳戶並要求吾等提供更多資料。
- In the event of any difference in interpretation or meaning between the Chinese and the English versions, we agree that the English shall prevail.
倘若中文版本與英文版本在解釋或意義方面有任何歧義, 吾等同意應以英文版本為準。

N. ACKNOWLEDGEMENT, UNDERTAKING AND SIGNATURE 確認、承諾及聲明

Authorized Signature(s) with Company Chop 獲授權人仕簽署及公司印章

Name of Authorized Signatory(ies) 獲授權簽署人仕姓名

Date 日期

O. Certification (must be completed by Yellow River Securities Limited staff member or a Professional³) 核證 (由黃河證券有限公司職員或專業人士⁴填寫)

I, the undersigned, hereby certify that the date written in Section N of this Account Opening Form, the signing of the Account Opening Form and the sighting of related original supporting documents of the Client by the Client named in this Account Opening Form is executed in my presence.
本人, 下列簽署人仕, 謹此證實, 於開戶表格中的 N 部份所寫的日期當日, 本人見證本開戶表格所指明的客戶的開戶表格的簽立及有關正本證明檔驗證均在本人面前執行。

SIGNED by the witness 見證人簽署

Full Name of Witness 見證人姓名

Position/Profession with Membership No. 職位/專業及會員編號

Date 日期

P. Declaration by Yellow River Securities Limited Licensed Representative 黃河證券有限公司持牌代表聲明

I, the undersigned, hereby declare that I have (i) provided the Risk Disclosure Statements in the language of the Client's choice (English or Chinese), (ii) invited the Client to read such Risk Disclosure Statements, to ask questions and take independent advice (if the Client wishes), and (iii) fully explained the contents of Risk Disclosure Statements to the Client in the language which the Client understands.

本人, 下列簽署人仕, 謹此聲明, 本人已按照客戶所選擇的語言(英文或中文)提供風險披露聲明; 邀請客戶閱讀該風險披露聲明、提出問題及徵詢獨立意見(如客戶有此意願); 及已按照客戶所理解的語言, 向客戶完全解釋風險披露聲明的內容。

SIGNED by Yellow River Securities Limited Licensed Representative
黃河證券有限公司持牌代表簽署

Full Name of Yellow River Securities Limited Licensed Representative
黃河證券有限公司持牌代表姓名

CE No. 中央編號

Date 日期

³ A professional included a certified financial accountant, lawyer or notary public.
專業人士包括執業會計師、律師或公證人

