



# 華亞證券有限公司

## QMS Securities Limited

Account No.  
帳戶號碼

Registered Office: Unit 2101, 21/F., Infinitus Plaza, 199 Des Voeux Road Central, Sheung Wan, Hong Kong

Tel. 電話: (852) 3971 6988

註冊辦事處: 香港上環德輔道中 199 號無限極廣場 21 樓 2101室

Fax 傳真: (852) 3971 6989

A corporation licensed for Type 1 regulated activity under the Securities and Futures Ordinance (CE Number: ARK249)

根據《證券及期貨條例》就第一類受規管活動獲發牌的持牌法團 (中央編號: ARK249)

### ACCOUNT APPLICATION FORM ( CORPORATE ACCOUNT)

#### 帳戶申請書 (公司帳戶)

Account Type 帳戶種類	<input type="checkbox"/> Cash Account* 現金帳戶*	<input type="checkbox"/> Electronic Trading Service* 電子交易服務*	Responsible AE 負責客戶主任姓名	
How long known to AE 與客戶主任認識多久			Responsible AE Code 負責客戶主任編號	

\*Please read the relevant provisions contained in the Agreement for Securities Trading Account 請閱讀載於證券交易帳戶協議書中相關的條款

### 1. Company Information 公司資料

Company Name 公司名稱			
Nature of Business 業務性質		Contact Person 聯絡人	
Registered Address 註冊地址		Principal Business Address (if different) 主要辦事處地址 (如不同)	
	Postal Code 郵政編號		Postal Code 郵政編號
Date of Incorporation (YYYY/MM/DD) 註冊日期 (年/月/日)		Place of Incorporation 註冊地方	
Certificate of Incorporation No. 註冊証書號碼		HK Business Registration No. 香港商業登記號碼	
Contact No. 聯絡電話	1. (+ ) 2. (+ )	Fax No. 傳真號碼	1. (+ ) 2. (+ )
Designated Bank 指定銀行	Name of Bank 銀行名稱:		Account Name 帳戶名稱:
	Account No 帳戶號碼:		
E-mail Address 電郵地址 (最多50個字母 Max. 50 characters)			
Document Exchanges Address 單據往來地址	Original Contract Notes (Trading Confirmations) and Statements to be sent by selecting one ON Y (If Client(s) choose for mailing services, HKD10 shall be imposed as postage service fee) 選擇下列其中一種方式發送成交單據正本 (買賣確認) 及對帳單 (如客戶選用郵寄方式, 將每月收取港幣10元郵遞服務費) <input type="checkbox"/> Registered Address 註冊地址 <input type="checkbox"/> Office Address 辦事處地址 <input type="checkbox"/> E-mail Address 電郵地址		

All Directors/Major Shareholders (Shareholding of 10% or more) 全部董事/主要股東 (持股10%或以上)\*

Names 姓名	Residential Address 住址	Passport / ID no. / Place of Issue 護照 / 身份證號碼 / 簽發地點	Director / Shareholder 董事 / 股東

Information of the person(s) authorized to give instructions on Client's behalf 代表公司給予指示的獲授權人士資料:\*

The Account may be operated on the instruction(s) of any \_\_\_\_\_ of the following person(s) (each an Authorized Person) 帳戶將根據以下所列人士中 \_\_\_\_\_ 人的指令運作(每位都是獲授權人士)

Names 姓名	Position 職位	Phone / Mobile no. 電話 / 手提電話號碼	Passport / ID no. 護照 / 身份證號碼	Signature 簽名
		(+ )		
		(+ )		
		(+ )		
		(+ )		
		(+ )		

\*Please attach extra sheets and sign if necessary 若空格不敷使用, 請另附紙填寫, 並予以簽署。

## 2. Financial Status (as required by SFC)\* 財務狀況 (證監會規定必須填寫)

Authorized Capital 授權股本	HKD 港幣	Paid-up Capital 發行股本	HKD 港幣
Liquid Assets 流動資產	<input type="checkbox"/> <HKD100,000 <input type="checkbox"/> HKD100,001 - HKD500,000 <input type="checkbox"/> HKD500,001 - HKD1,000,000 <input type="checkbox"/> HKD1,000,001 - HKD5,000,000 <input type="checkbox"/> HKD5,000,001 - HKD10,000,000 <input type="checkbox"/> Other: HKD _____	Net Worth 資產淨值	<input type="checkbox"/> <HKD100,000 <input type="checkbox"/> HKD100,001 - HKD500,000 <input type="checkbox"/> HKD500,001 - HKD1,000,000 <input type="checkbox"/> HKD1,000,001 - HKD5,000,000 <input type="checkbox"/> HKD5,000,001 - HKD10,000,000 <input type="checkbox"/> Other: HKD _____
Profit/Los 盈利/虧損數額	<input type="checkbox"/> <HKD100,000 <input type="checkbox"/> HKD100,001 - HKD500,000 <input type="checkbox"/> HKD500,001 - HKD1,000,000 <input type="checkbox"/> HKD1,000,001 - HKD5,000,000 <input type="checkbox"/> HKD5,000,001 - HKD10,000,000 <input type="checkbox"/> Other: HKD _____	Source of Funds 資金來源	<input type="checkbox"/> Shareholders Capital 股東的個人資本 <input type="checkbox"/> Investment Profits 投資溢利 <input type="checkbox"/> Business Profits 營業溢利 <input type="checkbox"/> Rental Income 租金收入 <input type="checkbox"/> Loan from Financial Institution 金融機構貸款 <input type="checkbox"/> Others 其他: _____

\*Based on the latest audited accounts 根據最近之審核財務報表

## 3. Investment Experience & Derivative Products Knowledge (as required by SFC) 投資經驗及衍生產品認識 (證監會規定必須填寫)

Investment Objective 投資目標	<input type="checkbox"/> Generating Income 賺取收入 <input type="checkbox"/> Capital Appreciation 資本增長 <input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Speculation 投機 <input type="checkbox"/> Others: 其他: _____																
Investment Plan 投資計劃	<input type="checkbox"/> Short Term 短期 <input type="checkbox"/> Medium Term 中期 <input type="checkbox"/> Long Term 長期 <input type="checkbox"/> Others: 其他: _____																
Investment Experience 投資經驗  (Can choose more than one) (可選多於一項)	<table border="0"> <tr> <td><input type="checkbox"/> Listed Securities 上市證券</td> <td>Year(s) 年數</td> <td><input type="checkbox"/> Futures or Options 期貨或期權</td> <td>Year(s) 年數</td> </tr> <tr> <td><input type="checkbox"/> Leveraged Foreign Exchange 槓桿式外匯</td> <td>Year(s) 年數</td> <td><input type="checkbox"/> Unit Trusts or Bonds 單位信託基金或債券</td> <td>Year(s) 年數</td> </tr> <tr> <td colspan="2"><input type="checkbox"/> Others 其他</td> <td colspan="2"><input type="checkbox"/> None 沒有</td> </tr> </table>					<input type="checkbox"/> Listed Securities 上市證券	Year(s) 年數	<input type="checkbox"/> Futures or Options 期貨或期權	Year(s) 年數	<input type="checkbox"/> Leveraged Foreign Exchange 槓桿式外匯	Year(s) 年數	<input type="checkbox"/> Unit Trusts or Bonds 單位信託基金或債券	Year(s) 年數	<input type="checkbox"/> Others 其他		<input type="checkbox"/> None 沒有	
<input type="checkbox"/> Listed Securities 上市證券	Year(s) 年數	<input type="checkbox"/> Futures or Options 期貨或期權	Year(s) 年數														
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<input type="checkbox"/> Others 其他		<input type="checkbox"/> None 沒有															
Derivative Products Knowledge 對衍生產品之認識	<p>(Refer to the following statements and tick the appropriate box(es) below 按以下選擇，在下列方格中加上✓)</p> <p><input type="checkbox"/> At least one of the person(s) responsible for making investment decisions understand(s) the nature and risks of derivative products due to: 代表公司做投資決定的人士，最少一位了解衍生產品的性質和風險：</p> <p>A. Undergoing relevant training or attending course in 已接受有關的培訓或課程</p> <table border="0"> <tr> <td><input type="checkbox"/> Regulatory Authority 監管機構</td> <td><input type="checkbox"/> Exchange 交易所</td> <td><input type="checkbox"/> Financial Institution 金融機構</td> <td><input type="checkbox"/> Education Institution 進修學院</td> <td><input type="checkbox"/> Tertiary Institution 大專院校</td> </tr> </table> <p>B. By gaining prior relevant work experience in financial institutions such as a brokerage firm or bank, fu house or asset management firm, regulatory authority or exchange 於經紀公司或銀行、基金或資產管理公司、監管機構或交易所等金融機構擁有有關的工作經驗</p> <table border="0"> <tr> <td><input type="checkbox"/> Regulated Licensed Person 受監管持牌人士</td> <td><input type="checkbox"/> Derivatives Related Back Office 與衍生工具相關後勤</td> <td><input type="checkbox"/> Management 管理層</td> </tr> </table> <p>C. <input type="checkbox"/> Executing five or more transactions in derivative products (whether traded on an exchange or not) within the past three years. 於過去三年內進行了五次或以上有關衍生產品之交易（不論是否於交易所進行交易）</p> <p><input type="checkbox"/> *The person(s) responsible for making investment decisions have NO knowledge of derivative products. 代表公司做投資決定的人士並未有衍生產品之認識</p>					<input type="checkbox"/> Regulatory Authority 監管機構	<input type="checkbox"/> Exchange 交易所	<input type="checkbox"/> Financial Institution 金融機構	<input type="checkbox"/> Education Institution 進修學院	<input type="checkbox"/> Tertiary Institution 大專院校	<input type="checkbox"/> Regulated Licensed Person 受監管持牌人士	<input type="checkbox"/> Derivatives Related Back Office 與衍生工具相關後勤	<input type="checkbox"/> Management 管理層				
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#### 4. Declaration by Client 客戶聲明\*

1. Is the ultimate beneficial owner(s) different from the shareholder(s)?  
最終實益擁有人是否與股東不同?

☐ Yes, please provide 是，請提供：

☐ No 否

Name

名稱 \_\_\_\_\_

ID/ Passport No.

身份證/護照號碼 \_\_\_\_\_

Address

地址 \_\_\_\_\_

2. Is any director(s), shareholder(s), or authorized person(s) of the Client an employee or agent of any exchange participant of a stock/ future exchange, or a licensed corporation or registered institution?  
客戶的任何董事、股東或獲授權人士是否證券/期貨交易所參與者或於證監會註冊的持牌法團/註冊機構的僱員/代理人?

☐ Yes, consent letter from licensed corporation or registered institution must be provided

☐ No 否

是，必須提供持牌法團/註冊機構的書面同意書

Name

名稱 \_\_\_\_\_

Position

職位 \_\_\_\_\_

3. Is any of the Client's director(s) or shareholder(s) an employee or agent of QMIS Securities Limited or its associated companies?  
客戶是否有董事或股東是華亞證券有限公司或其聯營公司的僱員/代理人?

☐ Yes, please provide 是，請提供：

☐ No 否

Name

名稱 \_\_\_\_\_

Position

職位 \_\_\_\_\_

4. Is any director(s) or shareholder(s) or authorized person(s) or related company of the Client currently maintaining an account with QMIS Securities Limited?  
客戶的任何董事、股東、獲授權人士或關連的公司，是否在華亞證券有限公司持有帳戶?

☐ Yes, please provide 是，請提供：

☐ No 否

Name

名稱 \_\_\_\_\_

Account No.

帳戶號碼 \_\_\_\_\_

\*Please attach extra sheets and sign if necessary 若空格不敷使用，請另附紙填寫，並予以簽署。

#### 5. Notes 注意事項

1. A certified true copy of the following corporate documents to be provided herewith  
提供以下經簽署作實之公司文件副本：

a) Certificate of Incorporation 公司註冊證書

b) Business Registration Certificate 商業登記証

c) Memorandum and Articles of Association 公司組織章程及細則

d) Latest Audited Accounts 最近之審核財務報表

e) I.D Card of all directors and authorized persons 所有董事及授權人士之身份證

f) Certificate of incumbency (within 6 months) 6個月內簽發的現任職位證明書 \*

g) Letter of Guarantee attached with the Guarantor's financial support (eg. Bank account passbook

董事擔保人財政狀況證明例如：銀行存摺

h) Board Resolution to open an account with QMIS Securities Limited 通過在華亞證券有限公司開設戶口的董事會決議案

\*Only applies to overseas registered company 只適用於海外註冊公司

2. This form should be completed and signed by authorized person of account holders  
帳戶持有人的授權人士必須填妥及簽署本表格。

3. Any deletion or amendment of the personal information must be signed by authorized person of account holders.  
任何有關個人資料的刪改必須由帳戶持有人的授權人士簽署作實。

4. All monies payable to the account holder will be credited to the designated bank account nominated on this Form, unless otherwise instructed.  
帳戶持有人的款項將會被存入本表格內所提供的指定銀行帳戶，除非另行通知。

5. Third party deposit will not be accepted. Any exception is subject to prior management approval.  
華亞證券恕不接受第三者存款，任何例外情況都需要管理層的預先批准。

## 6. Acknowledgement and Execution by Client 客戶確認及簽署

I / We hereby acknowledge and confirm that 本人/吾等謹此承諾並確認：

### A. Risk Disclosure Statements 風險披露聲明

I / We acknowledge that the Agreement for Securities Trading Account including the Risk Disclosure Statements and Disclaimers in PART IV attached were provided in a language (English or Chinese) of my / our choices. I / We further acknowledge that it was invited to read the risk disclosure statements, ask questions and take independent advice, if I / We wished.

吾/吾等 確認華亞證券以吾/吾等 選擇的語言（英文或中文）提供證券交易帳戶協議書包括第四部分的風險披露聲明及免責聲明。吾/吾等 進一步確認華亞證券已經邀請吾/吾等 閱讀風險聲明，提出問題及徵求獨立的意見（如吾/吾等 有此意願）

### B. Accuracy of information provided 提供準確的資料

The information contained in this Account Application Form (the "Form") is true and accurate. I / We will notify QMIS Securities of any material change of that information. QMIS Securities is authorized to contact anyone, including my / our banks, brokers or any credit agency, for verifying the information provided on this Form.

載於本帳戶申請書（「申請書」）中的資料是真實和準確的。客戶將會通知華亞證券有關資料的任何重要改變，華亞證券可聯絡任何人，包括吾/吾等的銀行、經紀或信用調查機構，以核實資料表的內容。

### C. Referral or introduction fees 轉介費或介紹費

I / We acknowledge that QMIS Securities may pay fees to any person(s) who referred or introduced me / us to QMIS Securities (the "Introducer"), and that the Introducer is not an agent of QMIS Securities.

吾/吾等 確認華亞證券可向介紹人支付轉介費或介紹費，而該介紹人並非華亞證券的代理人。

Signed by 簽署人

Name 名稱	Authorized Signature(s) with company chop 公司印章及授權代表簽署
Position 職位	
Date 日期	

## Declaration by QMIS Securities Limited Staff / Account Executive 華亞證券有限公司職員/經紀聲明

I hereby declare that I have:

- provided the Client with the Risk Disclosure Statement as contained in the Agreement for Securities Trading Account in a language of the Client's choice (English or Chinese); and
- invited the Client to read the Risk Disclosure Statement, ask questions and seek independent advice if the Client wishes.

本人 謹此聲明，本人：

- 已經以客戶選擇的語言（英文或中文）向客戶提供載於證券交易帳戶協議書中的風險披露聲明；及
- 已經邀請客戶閱讀風險披露聲明，提出問題及徵求獨立意見（如客戶有此意願）

Signature of Staff / AE 職員 / 經紀簽署	Name of Staff / AE 職員 / 經紀姓名	CE Number CE 編號
Date 日期	Designation of Staff 職員職銜	AE Number 經紀編號

**For Official Use Only 本公司專用**

Document checklist 文件查核列表		Yes 是	N/A 不適用
1. I.D Card of all directors and authorized persons 所有董事及授權人士之身份證		<input type="checkbox"/>	
2. Address proof of all directors and authorized persons 所有董事及授權人士之地址證明副本		<input type="checkbox"/>	
3. Board Resolution 董事會決議案		<input type="checkbox"/>	<input type="checkbox"/>
4. Latest Audited Accounts 最近之審核財務報表		<input type="checkbox"/>	<input type="checkbox"/>
5. Certificate of Incorporation 公司註冊證書		<input type="checkbox"/>	<input type="checkbox"/>
6. Business Registration Certificate 商業登記証		<input type="checkbox"/>	<input type="checkbox"/>
7. Memorandum and Articles of Association 公司組織章程及細則		<input type="checkbox"/>	<input type="checkbox"/>
8. Letter of Guarantee attached with the Guarantor's financial support (eg. Bank account passbook) 董事擔保人財政狀況證明例如：銀行存摺		<input type="checkbox"/>	<input type="checkbox"/>

  

Document submitted by (Name of Staff / AE, please select one) 文件提交 (職員 / 經紀姓名，請選其一)：

Name 姓名： \_\_\_\_\_ Signature 簽署： \_\_\_\_\_

  

Date 日期： \_\_\_\_\_ AE code 經紀編號： \_\_\_\_\_

  

AML Risk category AML風險級別： ☐ Low 低 ☐ Medium 中 ☐ High 高

  

Brokerage (%) 經紀人佣金 (%)	Credit Limit (HK) 信用限額 (港幣)	Interest Rate (%) 利率 (%)

  

Reviewed by Compliance Officer 合規主任覆核：

Name 姓名： \_\_\_\_\_ Signature 簽署： \_\_\_\_\_

  

Date 日期： \_\_\_\_\_

  

Reviewed and Approved by Responsible Officer / Director 負責人員 / 董事覆核：

Name 姓名： \_\_\_\_\_ Signature 簽署： \_\_\_\_\_

  

Date 日期： \_\_\_\_\_

  

Remarks 備註：

## Board Resolutions

### 董事會決議

We hereby certify that the following resolutions have been passed by the Board of Directors of \_\_\_\_\_

(the “Company”) at a Meeting of the Board duly convened and held at \_\_\_\_\_

\_\_\_\_\_ on \_\_\_\_\_ at which a quorum was present and acted throughout in accordance with the constitution of the Company\* / the following resolutions have been duly passed in accordance with the constitution of the Company\* and have been duly recorded in the Minute Book of the Company that no action have been taken to rescind or amend the said resolutions and that the same are now in full force and effect.

本公司茲證明，下列決議經\_\_\_\_\_ (下稱「本公司」)董事會於\_\_\_\_\_年\_\_\_\_\_月\_\_\_\_\_日

於\_\_\_\_\_正式召開之董事

局會議通過，該會議有足夠法定人數出席，並自始至終按照本公司章程規定行事\* (下列決議案經按照本公司章程規定正式通過)\*，且已被正式載入本公司之會議記錄冊內。並無任何人採取任何行動撤銷或修改上述決議案，而該決議案正全面生效及有效。

“IT WAS RESOLVED THAT :

「決議通過：

1. an account (the Custodian) be opened and maintained in the name of the Company with QMIS Securities Ltd. (“QMIS”) for the purpose of holding funds relating to any purchases, sales, holdings and other dealings in securities as the Company may instruct QMIS as its agent to effect from time to time on behalf of the Company and that the Custodian Account be maintained and all such purchases, sales, holdings and other dealings be effected subject to and in accordance with the provisions of the Authorization Letter and Agreement for Securities Trading Account to be issued by QMIS to the company in connection with the opening of the Custodian Account;

以本公司名義在華亞證券有限公司(下稱「華亞證券」)開立並維持一現金托管帳戶以持有資金，使本公司可不時指示華亞證券作為本公司代理人，代表本公司買賣及持有證券及其他證券交易，而該現金帳戶及所有該等買賣、持有及其他交易均須根據將由華亞證券關於開立現金托管帳戶而發給本公司之授權書及證券交易帳戶協議書之各項規定辦理並受其規限。

2. the Account Application Form, the Agreement for Securities Trading Account and the Authorization Letter in such form as completed and produced to the Meeting be and are hereby approved and any \_\_\_\_\_ Directors(s) of the Company be authorized to sign such Account Application Form, Agreement for Securities Trading Account and the Authorization Letter for and on behalf of the Company and the signed originals thereof be delivered to QMIS Securities Ltd.

批准經填妥並於本次會議上提交之帳戶申請書、證券交易帳戶協議書及授權書，並授權本公司任何\_\_\_\_\_名董事代表本公司簽署上述帳戶申請書、證券交易帳戶協議書及授權書，並將經簽署之該等文件正本送交華亞證券。

Duty authorized for and On behalf of  
正式授權代表

Date  
日期